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Economic and Social Council

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Committee for Programme and Coordination
Thirty-eighth session
Organizational session
8 May 1998
Substantive session
1-26 June 1998 (part I)
17-28 August 1998 (part II)

Adoption of the agenda and organization of work

Provisional agenda

1. Election of officers.
2. Adoption of the agenda and organization of work.
3. Review of the efficiency of the administrative and financial functioning of the United Nations:
   (a) Annual report of the Secretary-General on the review of the efficiency of the administrative and financial functioning of the United Nations;
   (b) Outline of the proposed programme budget for the biennium 2000-2001.
4. Programme questions:
   (a) Programme performance of the United Nations for the biennium 1996-1997;
   (b) Proposed revisions to the medium-term plan for the period 1998-2001;
   (c) Proposed revisions to the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation;
   (d) New narrative for section 7A, Economic and social affairs, and section 26, Public information, of the programme budget for the biennium 1998-1999;
   (e) Evaluation.
5. Coordination questions:
   (a) Report of the Administrative Committee on Coordination;

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(b) Progress report on the system-wide medium-term plan for the advancement of women, 1996-2001;

(c) United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s.

6. Reports of the Joint Inspection Unit.

7. Provisional agenda for the thirty-ninth session of the Committee.

8. Adoption of the report of the Committee on its thirty-eighth session.

Annotations

1. Election of officers

At its thirty-seventh session, in 1997, the Committee elected a Chairman, three Vice-Chairmen and a Rapporteur. It will be recalled that at its twenty-fourth session, the Committee decided that thenceforth the post of Chairman, as well as the other posts on the bureau, should rotate annually among the regional groups. At its twenty-fifth session, the Committee reaffirmed that decision and adopted the following pattern of rotation for the post of Chairman: (a) Group of African States; (b) Group of Eastern European States; (c) Group of Latin American and Caribbean States; (d) Group of Western European and other States; and (e) Group of Asian States.

At its thirty-eighth session, the Committee may wish to elect the Chairman from the Group of Asian States in accordance with the agreed pattern of rotation for the post of Chairman, and the Rapporteur from the regional group that had occupied the post of Chairman the previous year, namely, the Group of Western European and other States.

2. Adoption of the agenda and organization of work

Pursuant to paragraph 2 (e) of Economic and Social Council resolution 1979/41 of 10 May 1979 and paragraph 2 of General Assembly resolution 34/50 of 23 November 1979, the Committee submitted to the Council and the Assembly for their review the provisional agenda for its thirty-eighth session, together with the list of documentation requested. The present provisional agenda and list of documentation also take into account decisions taken by the Council and the Assembly since the previous session of the Committee.

3. Review of the efficiency of the administrative and financial functioning of the United Nations

(a) Annual report of the Secretary-General on the review of the efficiency of the administrative and financial functioning of the United Nations

In its resolution 45/254 of 21 December 1990, the General Assembly decided to continue considering annually the administrative, structural and other aspects of the improvement of the efficiency of the Organization, and requested the Secretary-General to report accordingly.

At its thirty-fourth session, in 1994, the Committee endorsed the measures on the establishment of a transparent and effective system of accountability and responsibility to be taken by 1 January 1995 and recommended that future proposals should be submitted as appropriate to the General Assembly through the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions.

Furthermore, it should be recalled that at its resumed forty-ninth session, the General Assembly, in its decision 49/489, decided to defer consideration of the documents relating to the review of the efficiency of the administrative and financial functioning of the United Nations and requested the Secretary-General to update his report on the restructuring of the Secretariat (A/49/336) and to apprise the Assembly of the measures taken in order to implement the recommendations contained in his report on the establishment of a transparent and effective system of accountability and responsibility (A/C.5/49/1). In its decision 50/503, the General Assembly decided to defer once again consideration of the documents relating to the review of the efficiency of the administrative and financial functioning of the United Nations to its fifty-first session.

At its thirty-sixth session, in 1996, the Committee, in view of the absence of a report of the Secretary-General on the administrative, structural and other aspects of the improvement of the efficiency of the Organization, as mandated in General Assembly resolution 45/254 of 21 December 1990, decided to defer to its thirty-seventh session consideration of the question of review of the efficiency of the administrative and financial functioning of the United Nations.

At its thirty-seventh session, in 1997, the Committee, in view of the report of the Secretary-General entitled "Renewing the United Nations: a programme for reform" (A/51/950), decided to postpone to its thirty-eighth session consideration of the question of review of the efficiency of the administrative and financial functioning of the United Nations.

Owing to the ongoing and continual reporting to Member States in various forums, including the Committee for Programme and Coordination, on the wide-ranging administrative and efficiency initiatives, the issue had been covered more than adequately.

Furthermore, with the adoption of the reform measures late last year, the Secretary-General has refocused plans for efficiency, as well as structural and administrative changes, and has proposed some far-reaching initiatives in those areas. The Secretary-General is currently following up on the implementation of those initiatives and will be reporting on each of them as they develop. In this manner, more valuable information will be provided than could be contained in an overview type of report that is generic rather than specific.

In addition, in view of the Secretary-General's proposal to limit documentation that simply repackages information that has already been disseminated, the Committee may wish to postpone to its thirty-ninth session the consideration of the report on management issues taking into account the continuing development of the initiatives by the Secretary-General.

(b) Outline of the proposed programme budget for the biennium 2000-2001

In accordance with annex I to General Assembly resolution 41/213 of 19 December 1986, the Secretary-General is to submit an outline of the programme budget for the following biennium that contains an indication of the following:

(i) Preliminary estimate of resources to accommodate the proposed programme of activities during the biennium;

(ii) Priorities, reflecting general trends of a broad sectoral nature;

(iii) Real growth, positive or negative, compared with the previous budget;

(iv) Size of the contingency fund expressed as a percentage of the overall level of resources.

In accordance with annex I to resolution 41/213 of 19 December 1986, the Committee for Programme and Coordination, acting as a subsidiary organ of the General Assembly, is to consider the outline of the programme budget and submit its conclusions and recommendations to the Assembly through the Fifth Committee.

In its resolution 42/211 of 21 December 1987, the General Assembly decided that the date for submission of the outline of the programme budget would be 15 August of the off-budget year. The Committee will consider the report of the Secretary-General on the outline of the proposed programme budget for the biennium 2000-2001 when it resumes its thirty-eighth session from 17 to 28 August 1998.

Documentation

Report of the Secretary-General (A/53/__)

4. Programme questions

(a) Programme performance of the United Nations for the biennium 1996-1997

Regulation 6.1 of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation reads as follows:

> "The Secretary-General shall monitor the delivery of output scheduled in the approved programme budget through a central unit in the Secretariat. After the completion of the biennial budget period, the Secretary-General shall report to the General Assembly, through the Committee for Programme and Coordination, on programme performance during that period."

In section IV of its resolution 51/219 of 18 December 1996, the General Assembly took note of the report of the Secretary-General on the programme performance of the United Nations for the biennium 1994-1995 (A/51/128 and Add.1) and endorsed the conclusions and recommendations of the Committee contained in paragraphs 15 to 21 of the report on its thirty-sixth session (A/51/16, part I).

In paragraph 50 of the annex to its resolution 51/241 of 31 July 1997, the General Assembly encouraged the Secretary-General to submit proposals to the Assembly to improve the presentation of the programme performance report so as to enable the Committee for Programme and Coordination and the Main Committees of the Assembly, without prejudice to the provisions of section VI of resolution 45/248 B of 21 December 1990, as reaffirmed in resolution 51/221 of 18 December 1996, to consider the portions of the report related to their substantive work with reference to the medium-term plan, with a view to facilitating the consideration of the programme performance report by the Fifth Committee.

At its thirty-eighth session, the Committee will have before it a report of the Secretary-General on the programme performance of the United Nations for the biennium 1996-1997.

Documentation

Report of the Secretary-General (A/53/___)

(b) Proposed revisions to the medium-term plan for the period 1998-2001

Regulation 4.11 of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation, reads as follows:

> "The medium-term plan shall be revised as necessary every two years to incorporate required programme changes; revisions to the plan shall be considered by the General Assembly one year before the submission of the proposed programme budget providing for implementation of the changes. The proposed revisions shall be as detailed as required to incorporate the programme implications of the resolutions and decisions adopted by the intergovernmental organs or international conferences since the adoption of the plan."

In its resolution 51/219, the General Assembly stressed the importance of priority-setting as an integral part of the planning, programming and budgeting process and requested the

Secretary-General to present to the Committee at its thirty-eighth session recommendations on priority-setting, including at the subprogramme level, within the medium-term plan for the period 1998-2001.

Documentation

Report of the Secretary-General (A/53/__)

(c) Proposed revisions to the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation

At its thirty-sixth session, the Committee agreed that if the new format of the medium-term plan were adopted, it would be necessary, as recommended by the Advisory Committee on Administrative and Budgetary Questions (see A/49/958), to amend as appropriate the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation, which govern the preparation of the medium-term plan.

In its resolution 51/219, the General Assembly adopted the proposed medium-term plan for the period 1998-2001, together with the relevant recommendations of the Committee for Programme and Coordination and the additional conclusions and recommendations contained in the annex to that resolution, taking into account the views of the Main Committees of the General Assembly and requested the Secretary-General to propose revisions to the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation, taking into account the views expressed by Member States thereon, and to submit such revisions to the Committee at its thirty-eighth session.

Documentation

Report of the Secretary-General (A/53/___)

(d) New narrative for section 7A, Economic and social affairs, and section 26, Public information, of the programme budget for the biennium 1998-1999

In part III of its resolution 52/220, the General Assembly noted the creation of the new Department of Economic and Social Affairs and requested the Secretary-General to submit a new narrative of section 7A, Economic and social affairs, in full accordance with the medium-term plan, taking into account regulation 5.2 of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation, to be considered by the Committee at its thirty-eighth session. In the same resolution, the Assembly requested the Committee, at its thirty-eighth session, to review the new narrative and to submit its conclusions and recommendations thereon to the Assembly for its consideration during the first part of its fifty-third regular session and no later than 1 October 1998.

Furthermore, in the same resolution, the General Assembly noted the transformation of the Department of Public Information into an Office of Communications and Public Information and requested the Secretary-General to submit to the Committee at its thirty-eighth session a new programme narrative for section 26 in the light of the recommendations of the Committee on Information regarding the conclusions and recommendations of the task force on the reorientation of United Nations public information activities.

Documentation

Report of the Secretary-General (E/AC.51/1998/6)

(e) Evaluation

In accordance with regulation 7.4 of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation, the Committee will have before it the report of the Secretary-General on the strengthening of the evaluation role and the application of evaluation findings in programme design, delivery and policy directives. In this regard, the attention of the Committee is drawn to the relevant sections of General Assembly resolutions 36/228 B of 18 December 1981, 37/234 of 21 December 1982, 38/227 A and B of 20 December 1983, 42/215 of 21 December 1987, 43/219 of 21 December 1988, 44/194 of 21 December 1989 and 45/253 of 21 December 1990.

At its thirty-sixth session, the Committee recommended to the General Assembly that the crime prevention and criminal justice and international drug control programmes be the subjects of in-depth evaluation, and that reports thereon be presented to the Committee at its thirty-eighth session.

In accordance with regulation 7.4 of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation, the Committee will undertake, at its thirty-eighth session, a triennial review of the implementation of recommendations on the in-depth evaluation of peacekeeping operations: start-up phase, and of the programme on environment.

It may be recalled that at its thirty-fifth session, the Committee requested a study on the effects of the reorganization of the United Nations Environment Programme (UNEP) by the Office of Internal Oversight Services, as a follow-up to the in-depth evaluation of the programme on environment, for consideration by the Committee at its thirty-seventh session.

At its thirty-seventh session, the Committee took note of the report and looked forward to the full implementation of its recommendations in accordance with the decisions of the Governing Council of UNEP at its nineteenth session.

Documentation

Report of the Secretary-General on the strengthening of the role of evaluation findings in programme design, delivery and policy directives (A/53/90)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the in-depth evaluation of the international drug control programme (E/AC.51/1998/2)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the in-depth evaluation of the crime prevention and criminal justice programme (E/AC.51/1998/3)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the triennial review of the implementation of recommendations on the in-depth evaluation of peacekeeping: start-up phase (E/AC.51/1998/4)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the triennial review of the implementation of recommendations on the in-depth evaluation of the programme on environment (E/AC.51/1998/5)

5. Coordination questions

(a) Report of the Administrative Committee on Coordination

In accordance with Economic and Social Council resolution 2008 (LX), the Committee will have before it the annual overview report of the Administrative Committee on Coordination for 1997.

Documentation

Annual overview report of the Administrative Committee on Coordination for 1997 (E/1998/___)

(b) Progress report on the system-wide medium-term plan for the advancement of women, 1996-2001

At its thirty-sixth session, the Committee considered the report of the Administrative Committee on Coordination on the proposed system-wide medium-term plan for the advancement of women, 1996-2001, and in the light of its joint responsibility for monitoring the implementation of the plan and the anticipated mid-term review to be conducted by the Commission on the Status of Women and the Economic and Social Council in 1998, the Committee agreed to conduct a progress review of the plan at its thirty-eighth session.

Documentation

Mid-term review of the implementation of the system-wide medium-term plan for the advancement of women, 1996-2001 (E/CN.6/1998/3)

(c) United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s

At its thirty-seventh session, the Committee considered the reports on the revised system-wide plan of action for African economic recovery and development and on the implementation of the United Nations System-wide Special Initiative on Africa and recommended that, in order to assist in establishing a functional linkage between the New Agenda for the Development of Africa in the 1990s and the Special Initiative, the latter henceforth be referred to as the "United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s". In that connection, the Committee called upon the Secretary-General to rationalize and enhance the coordination mechanisms of the United Nations system at the national, regional and global levels to ensure that there was a clear delineation of responsibilities and to avoid a duplication of efforts among the United Nations units and agencies involved in the follow-up, implementation and monitoring of the Special Initiative and the New Agenda. The Committee recommended that, in order to ensure that future reports were more substantive and comprehensive, the relevant units responsible for coordination and implementation of programmes at the regional and country levels, as well as the Inter-agency Task Force on Africa's Critical Economic Situation, Recovery and Development, be more fully involved in their preparation.

In paragraph 354 of the report of the Committee on the work of its thirty-seventh session,[1] the Committee recommended that, in view of the fact that the two areas of regional cooperation and integration and economic diversification were critical priority areas in Africa's development, the Administrative Committee on Coordination Steering Committee for the Special Initiative should make the necessary arrangements for the elaboration of comprehensive programmes in respect of the areas of regional cooperation and integration

and economic diversification, including measures for the mobilization of adequate resources to buttress such programmes under the Special Initiative. Accordingly, the Under-Secretary-General for Economic and Social Affairs has informed the co-chairmen of the Steering Committee, who advised that necessary arrangements were being made. The progress report on the Special Initiative will therefore include in an annex the programmes related to the two additional areas.

In accordance with paragraph 359 of its report, the Committee will have before it at its thirty-eighth session a progress report on the renamed Special Initiative, which should include measures taken in response to the recommendations contained in paragraphs 356 and 357 of the Committee's report.

Documentation

Report of the Secretary-General (E/AC.51/1998/7)

6. Reports of the Joint Inspection Unit

At its organizational meeting each year, the Committee selects the Joint Inspection Unit reports to be considered at its regular session of that year from a list of titles to be made available by the secretariat of the Unit, including the titles of reports projected for the following two years.

The attention of the Committee is drawn to General Assembly resolution 42/218 of 21 December 1987, in which the Assembly requested all bodies of the United Nations system to examine closely those reports of the Joint Inspection Unit that were within their respective areas of competence and to comment, as appropriate, on the recommendations contained therein. The attention of the Committee is also drawn to Assembly resolution 45/237 of 21 December 1990.

In its resolution 48/221 of 23 December 1993, the General Assembly invited the Joint Inspection Unit, in its future work programmes, to put more emphasis on inspection and evaluation to ensure optimum use of funds in order to enhance the efficiency of the administrative and financial functioning of the United Nations system. It also requested the Unit, when appropriate, to provide in its reports information on estimated financial implications or possible cost savings resulting from implementation of the recommendations formulated therein.

In the same resolution, the General Assembly called upon the Joint Inspection Unit to follow up on the implementation of its recommendations and to include the relevant information regularly in its annual reports. The Assembly also invited the Unit to maintain a close relationship with the Committee for Programme and Coordination, the International Civil Service Commission, the Advisory Committee on Administrative and Budgetary Questions, the Board of Auditors, the Panel of External Auditors and organizations and bodies within the United Nations system in order to ensure greater and more cost-effective coordination of their respective activities for the promotion of management efficiency, greater accountability and transparency of the United Nations and other participating organizations. It also requested the executive heads of the participating organizations to increase their efforts to make detailed and timely comments on Joint Inspection Unit reports and to ensure that their governing bodies considered those reports.

Furthermore, in paragraph 5 (e) (iii) of its resolution 48/218 B of 29 July 1994, in which it established the Office of Internal Oversight Services, the General Assembly decided that the Board of Auditors and the Joint Inspection Unit should be provided with copies of all

final reports produced by the Office as well as the comments of the Secretary-General on them, and should provide the Assembly with their comments as appropriate.

In its resolution 50/233 of 7 June 1996, the General Assembly requested the Joint Inspection Unit to continue to focus its reports on important priority items, identifying concrete managerial, administrative and programming questions aimed at providing the Assembly and other legislative organs of participating organizations with practical and action-oriented recommendations on precisely defined issues. It also requested the Unit to issue its reports well in advance of meetings of the legislative organs of participating organizations so that they can be thoroughly and effectively utilized by those organs.

7. Provisional agenda for the thirty-ninth session of the Committee

Pursuant to paragraph 3 of Economic and Social Council resolution 1894 (LVII) of 1 August 1974, the Committee will have before it the draft provisional agenda for its thirty-ninth session, with an indication of the documents to be submitted under each agenda item and the legislative authority for their preparation, in order to enable the Committee to consider those documents from the point of view of their contribution to the work of the Committee, their urgency and their relevance in the light of the current situation.

Documentation

Note by the Secretariat (E/AC.51/1998/L.___)

8. Adoption of the report of the Committee on its thirty-eighth session

The report of the Committee on its thirty-eighth session will be submitted to the Economic and Social Council at its substantive session of 1998 and to the General Assembly at its fifty-third session.

Notes

[1] *Official Records of the General Assembly, Fifty-second Session, Supplement No. 16* (A/5216).

Annex I

Draft programme of work

Organizational session for 1998

Friday, 8 May 1998

Election of officers [1]

Adoption of the agenda and organization of work [2]

Provisional agenda and note by the Secretariat on the status of documentation for the session. (E/AC.51/1998/1 and E/AC.51/1998/L.1)

Note by the Secretariat on the current notional costs of documentation and utilization of interpretation services (E/AC.51/1998/L.2)

Reports of the Joint Inspection Unit [6]

Selection of the report(s) to be considered by the Committee at its thirty-eighth session

Thirty-eighth session, part I

Monday, 1 June and Tuesday, 2 June (morning and afternoon)

Programme questions [4]

(e) Evaluation

Report of the Secretary-General on the strengthening of the role of evaluation findings in programme design, delivery and policy directives (A/53/90)

Note by the Secretary-General transmitting the final report of the Office of Internal Oversight Services on the in-depth evaluation of the international drug control programme (E/AC.51/1998/2)

Note by the Secretary-General transmitting the final report of the Office of Internal Oversight Services on the in-depth evaluation of the crime prevention and criminal justice programme (E/AC.51/1998/3)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the triennial review of the implementation of recommendations on the in-depth evaluation of peacekeeping: start-up phase (E/AC.51/1998/4)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the triennial review of the implementation of recommendations on the in-depth evaluation of the programme on environment (E/AC.51/1998/5)

Introduction and general discussion

Wednesday, 3 June (morning and afternoon)

Reports of the Joint Inspection Unit [6]

Coordination questions [5]

(a) Report of the Administrative Committee on Coordination

Annual overview report of the Administrative Committee on Coordination for 1997 (E/1998/___)

(b) Progress report on the system-wide medium-term plan for the advancement of women, 1996-2001

Mid-term review of the implementation of the system-wide medium-term plan for the advancement of women, 1996-2001 (E/CN.6/1998/3)

Letter from the Chairperson of the Commission on the Status of Women to the Chairman of the Committee for Programme and Coordination on the mid-term review of the implementation of the system-wide medium-term plan for the advancement of women, 1996-2001 (E/AC.51/1998/8)

(c) United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s

Progress report of the Secretary-General on the United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s (E/AC.51/1998/7)

Introduction and general discussion

Thursday, 4 June (morning and afternoon)

Coordination questions [5]

(a) Report of the Administrative Committee on Coordination

Annual overview report of the Administrative Committee on Coordination for 1997 (E/1998/___)

(b) Progress report on the system-wide medium-term plan for the advancement of women, 1996-2001

Mid-term review of the implementation of the system-wide medium-term plan for the advancement of women, 1996-2001 (E/CN.6/1998/3)

Letter from the Chairperson of the Commission on the Status of Women to the Chairman of the Committee for Programme and Coordination on the mid-term review of the implementation of the system-wide medium-term plan for the advancement of women, 1996-2001 (E/AC.51/1998/8)

(c) United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s

Progress report of the Secretary-General on the United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s (E/AC.51/1998/7)

Continuation and conclusion of general discussion

Thursday, 4 June (afternoon)

Informal consultations on:

Reports of the Joint Inspection Unit [6]

Friday, 5 June
(morning and afternoon)

Informal consultations on:

Programme questions [4]

(e) Evaluation

Report of the Secretary-General on the strengthening of the role of evaluation findings in programme design, delivery and policy directives (A/53/90)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the in-depth evaluation of the international drug control programme (E/AC.51/1998/2)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the in-depth evaluation of the crime prevention and criminal justice programme (E/AC.51/1998/3)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the triennial review of the implementation of recommendations on the in-depth evaluation of peacekeeping: start-up phase (E/AC.51/1998/4)

Note by the Secretary-General transmitting the report of the Office of Internal Oversight Services on the triennial review of the implementation of recommendations on the in-depth evaluation of the programme on environment (E/AC.51/1998/5)

Monday, 8 June
(morning and afternoon)

Informal consultations on:

Coordination questions [5]

(a) Report of the Administrative Committee on Coordination

Annual overview report of the Administrative Committee on Coordination for 1997 (E/1998/___)

(b) Progress report on the system-wide medium-term plan for the advancement of women, 1996-2001

Mid-term review of the implementation of the system-wide medium-term plan for the advancement of women, 1996-2001 (E/CN.6/1998/3)

Letter from the Chairperson of the Commission on the Status of Women to the Chairman of the Committee for Programme and Coordination on the implementation of the system-wide medium-term plan for the advancement of women, 1996-2001 (E/AC.51/1998/8)

(c) United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s

Progress report of the Secretary-General on the United Nations System-wide Special Initiative for the implementation of the United Nations Agenda for the Development of Africa in the 1990s (E/AC.51/1998/7)

Programme questions [4]

(e) Evaluation

Tuesday, 9 June (morning and afternoon)	Informal consultations on: **Programme questions [4]** (e) Evaluation **Reports of the Joint Inspection Unit [6]** **Coordination questions [5]** (a) Report of the Administrative Committee on Coordination (b) Progress report on the system-wide medium-term plan for the advancement of women, 1996-2001 (c) United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s
Wednesday, 10 June (morning and afternoon)	**Programme questions [4]** (a) Programme performance of the United Nations for the biennium 1996-1997 Report of the Secretary-General on programme performance of the United Nations for the biennium 1996-1997 (A/53/___) Introduction and general discussion
Thursday, 11 June (morning and afternoon)	**Programme questions [4]** (c) Proposed revisions to the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation Report of the Secretary-General on the proposed revisions to the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (A/53/___) (d) New narrative for section 7A, Economic and social affairs, and section 26, Public information, of the programme budget for the biennium 1998-1999 Report of the Secretary-General on the new narrative for section 7A, Economic and social affairs, and section 26, Public information, of the programme budget for the biennium 1998-1999 (E/AC.51/1998/6) Introduction and general discussion
Friday, 12 June (morning and afternoon)	Informal consultations on: **Coordination questions [5]** (a) Report of the Administrative Committee on Coordination (b) Progress report on the system-wide medium-term plan for the advancement of women, 1996-2001

(c) United Nations System-wide Special Initiative for the Implementation of the United Nations New Agenda for the Development of Africa in the 1990s

Programme questions [4]

(a) Programme performance of the United Nations for the biennium 1996-1997

Monday, 15 June and Tuesday, 16 June (morning and afternoon)

Programme questions [4]

(b) Proposed revisions to the medium-term plan for the period 1998-2001

Report of the Secretary-General on the proposed revisions to the medium-term plan for the period 1998-2001 (A/53/___)

Introduction and general discussion

Wednesday, 17 June and Thursday, 18 June (morning and afternoon)

Informal consultations on:

Programme questions [4]

(a) Programme performance of the United Nations for the biennium 1996-1997

(c) Proposed revisions to the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation

Report of the Secretary-General on the proposed revisions to the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (A/53/___)

(d) New narrative for section 7A, Economic and social affairs, and section 26, Public information, on the programme budget for the biennium 1998-1999

Report of the Secretary-General on the new narrative for section 7A, Economic and social affairs, and section 26, Public information, of the programme budget for the biennium 1998-1999 (E/AC.51/1998/6)

Friday, 19 June (morning and afternoon)

Informal consultations on:

Programme questions [4]

(b) Proposed revisions to the medium-term plan for the period 1998-2001

Report of the Secretary-General on the proposed revisions to the medium-term plan for the period 1998-2001 (A/53/___)

Monday, 22 June and Tuesday, 23 June (morning and afternoon)	Informal consultations on: **Programme questions [4]** (b) Proposed revisions to the medium-term plan for the period 1998-2001
Wednesday, 24 June (morning and afternoon)	Informal consultations on: All outstanding issues
Thursday, 25 June (morning and afternoon)	Informal consultations on: All outstanding issues
Friday, 26 June (morning and afternoon)	**Provisional agenda for the thirty-ninth session of the Committee [7]** **Adoption of the report of the Committee on the first part of its thirty-eighth session [8]**

Thirty-eighth session, part II
[To be communicated at a later date]

Annex II

Members of the Committee for Programme and Coordination for 1998[a]

Country	*Term expires 31 December*
Argentina	1999
Austria	1999
Bahamas	2000
Brazil	1999
Cameroon	1999
China	1998
Congo	1999
Democratic Republic of the Congo	1998
Egypt	1998
France	2000
Germany	1999
Indonesia	1999
Iran (Islamic Republic of)	1999
Italy	1999
Japan	1998
Mexico	2000
Nicaragua	1999
Nigeria	1999
Pakistan	1999
Poland	1999
Republic of Korea	1998
Romania	1999
Russian Federation	2000
Thailand	1999
Togo	1998
Trinidad and Tobago	1999
Uganda	2000
Ukraine	1999
United Kingdom of Great Britain and Northern Ireland	1999
United States of America	2000
Uruguay	1998
Zambia	2000
Zimbabwe	1999

[a] One seat from the Group of Western European and other States remains to be filled

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In-depth evaluation of the United Nations International Drug Control Programme

Note by the Secretary-General

In conformity with paragraph 5 (e) (i) of General Assembly resolution 48/218 B of 29 July 1994, the Secretary-General has the honour to transmit the attached report of the Office of Internal Oversight Services on the in-depth evaluation of the United Nations International Drug Control Programme, dated 6 March 1998. The report has been reviewed by the relevant departments, programmes and agencies; the Secretary-General takes note of the findings in the report and concurs with its recommendations.

* E/AC.51/1998/1.

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In-depth evaluation of the United Nations International Drug Control Programme

Report of the Office of Internal Oversight Services

Summary

The present report reviews the achievements and shortcomings of the United Nations International Drug Control Programme in (a) supporting the work of the Commission on Narcotic Drugs and of the International Narcotics Control Board in implementing and monitoring the international drug control treaty system; (b) facilitating the implementation of measures contained in relevant policy documents, such as the Global Programme of Action adopted by the General Assembly in 1990, and conducting analytical work in support of policy implementation and policy development; and (c) executing and coordinating operational activities to assist countries meet their obligations under the international drug control system.

The report focuses on the following problems of the Programme: (a) its capacity to monitor progress achieved in the implementation of the conventions and policies developed under the international drug control system; (b) its effectiveness in the collection, analysis and dissemination of information; and (c) its role in promoting collaborative efforts in research and support of national and subregional strategies. Recommendations are made on, *inter alia*, Programme support to the International Narcotics Control Board; simplifying government reporting requirements; the Programme's integrated information system; developing networks of collaborating organizations and institutions; support to Governments in the planning of drug control programmes; and the Programme's capacity to implement programmes.

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I. Introduction

1. At its thirty-sixth session, the Committee for Programme and Coordination recommended to the General Assembly that an in-depth evaluation of the United Nations International Drug Control Programme be prepared for consideration by the Committee in 1998.[1]

2. The in-depth evaluation reviewed all the activities of the Programme. The present report is organized around the three main areas of activity identified by the General Assembly in paragraph 5 of its resolution 45/179 of 21 December 1990, by which the Programme was established. The areas include treaty implementation (see sect. III below), policy implementation and research (sect. IV) and operational activities (sect. V).

3. In the conduct of the in-depth evaluation, the following categories of information were utilized by the Central Evaluation Unit of the Office of Internal Oversight Services: (a) information in the public domain (United Nations reports and documents, and studies and reports of government agencies and intergovernmental and non-governmental organizations); (b) information from internal sources (the Programme's internal evaluation reports, reports of consultants and internal working documents); (c) structured interviews and consultations with a wide range of government representatives at Vienna, experts members of the International Narcotics Control Board (INCB), staff of the Programme, and staff of intergovernmental and non-governmental organizations and of programmes and agencies of the United Nations system participating in the work of the Administrative Committee on Coordination (ACC) Subcommittee on Drug Control. A number of telephone consultations took place with staff of government agencies, at the country level.

II. United Nations International Drug Control Programme

A. International conventions

4. Three United Nations conventions set out agreements concerning international action to combat the drug problem. The Single Convention on Narcotic Drugs of 1961[2] is essentially aimed at preventing the diversion of narcotic drugs from licit medical or scientific channels into illicit traffic. The Convention on Psychotropic Substances of 1971,[3] in response to the diversification of drugs of abuse, introduces controls over the licit use of a number of synthetic drugs. In response to the increasing problem of drug abuse and trafficking during the 1970s and 1980s, the United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988[4] provides for comprehensive measures against drug trafficking. By those conventions, Governments agreed on measures to be taken to control licit activities related to narcotic drugs, psychotropic substances and chemicals – precursors – used in the manufacture of drugs, to combat illicit trafficking and to prevent abuse of drugs and treat and rehabilitate drug abusers.

B. Comprehensive strategies

5. Towards the end of the 1980s, "as gaps in the international control system were progressively closed, it became more generally apparent that the mechanisms originally created for the introduction of international supply control were not in themselves a sufficient response".[5] Increased attention was given to "activities undertaken to prevent illicit demand for drugs and to further the treatment and eventual social reintegration of drug addicts".[6] This more comprehensive and balanced approach was reflected in the Comprehensive Multidisciplinary Outline of Future Activities in Drug Abuse Control,[7] adopted in 1987 by the International Conference on Drug Abuse and Illicit Trafficking. The Global Programme of Action, adopted by the General Assembly at its seventeenth special session, stressed that the Comprehensive Multidisciplinary Outline should be used "as a basis for developing and translating into action, at the national, regional and international levels, to the widest extent possible, balanced strategies aimed at combating all aspects of drug abuse and illicit trafficking" (resolution S-17/2, annex, sect. II, para. 8).

C. Intergovernmental and treaty bodies

1. International Narcotics Control Board

6. INCB is the independent and quasijudicial control organ established by an international drug control treaty for the implementation and monitoring of the United Nations drug conventions. Its responsibility is to promote government compliance with the provisions of the three conventions and to assist them in that regard. The Board's specific functions include limiting, in cooperation with Governments, the production and use of drugs exclusively to medical purposes in order to prevent their diversion into illicit traffic; to that end, the Board administers various

international control systems. Through its continuous evaluation of national efforts, INCB recommends actions and suggests adjustments to both international and national control regimes.

2. Commission on Narcotic Drugs

7. The Commission on Narcotic Drugs – one of the functional commissions of the Economic and Social Council – is a policy-making body that is responsible for analysing the world drug abuse situation and developing proposals to strengthen international drug control. The Commission considers any changes that may be required in the existing machinery and may prepare new conventions and international instruments. The Expert Committee on Drug Dependence of the World Health Organization (WHO) makes recommendations to the Commission concerning modifying the scope of controlled substances under the 1961 and 1971 Conventions. INCB received similar responsibilities for chemicals under the 1988 Convention. The Commission takes decisions on which substances should be placed under international control, based on these recommendations, thus amending the schedules attached to the Conventions. Since 1992, the Commission also acts as the equivalent of a governing body for the United Nations International Drug Control Programme.

D. Secretariat arrangements

8. The United Nations International Drug Control Programme was established in 1991 as a single programme "to unify the United Nations structure for drug abuse control to enable the United Nations to strengthen its role as the main focus for concerted international action for drug abuse control" (General Assembly resolution 45/179, para. 2). The Programme integrated three previously existing United Nations units – the Division of Narcotic Drugs, the INCB secretariat and the United Nations Fund for Drug Abuse Control (UNFDAC). As a result of the integration of the functions of the former units, the Programme carries out both normative and technical cooperation functions. The normative functions include promoting adherence to treaties and inclusion of relevant provisions in national legislation and providing secretariat and substantive services to the Commission and INCB. The purpose of technical cooperation is primarily to assist developing countries meet their obligations in implementing the provisions of the international drug control treaty system (E/CN.7/1995/22, para. 2). The normative functions are, in principle, funded by regular budget resources and the technical assistance functions by voluntary contributions. This distinction is maintained to guarantee independence of the normative functions and of the work of INCB. For the biennium 1996-1997, regular budget resources – $16.1 million – accounted for approximately 10 per cent of total Programme resources. International drug control was one of the six overall priorities of the medium-term plan for the period 1992-1997 (Assembly resolution 45/253, sect. I, para. 12).

III. Implementing the conventions

A. Adherence

9. INCB has stressed that "a large part of the shortcomings of the international drug control system may be attributed to the fact that the conventions were meant to be universal but have not yet been universally adopted".[8] It should be noted that States not party to a particular treaty are encouraged to apply treaty provisions voluntarily, and that, in practice, all Governments cooperate with INCB monitoring. INCB maintains ongoing discussions with Governments through regular consultations and through missions. Various sectors of the Programme contribute to that effort, either centrally or as a result of operational activities (see para. 46 below). The adoption of the 1988 Convention generated a renewed interest in the drug control system and the rate of adherence to the two prior conventions increased substantially in the years that followed (see below).

Number of States parties to United Nations drug control conventions

	1984	*1990*	*1997*
Single Convention on Narcotic Drugs, 1961	116	130	160
Convention on Psychotropic Substances, 1971	78	103	149
Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988	—	31	144

10. Adherence to the conventions in the sense of formal ratification of their provisions does not in itself ensure their implementation. The Economic and Social Council has stressed that, while the current drug control treaties and the Global Programme of Action provide the necessary framework for international cooperation, "what is of paramount importance is the political will and the sustained

commitment of Governments to ensure their effective implementation. The adoption of strong domestic legislation and policies is an essential prerequisite for making full use of the opportunities for international cooperation provided by the international drug control treaties" (E/1996/89, para. 24). Many States have adopted new national legislation or have made substantial legislative changes after becoming parties; States usually also needed to enact procedural legislation for their substantive law to be given full practical effect.

11. There are a number of regional instruments and arrangements of relevance to the objectives of the international drug control system. Regional instruments, in general, contain more detailed or stringent requirements than United Nations conventions. However, when States need to interact with other States outside their own region, there are situations where the lack of common standards and requirements hinders collaboration.

B. Monitoring implementation

12. In carrying out its functions (see para. 6 above), INCB monitors the licit manufacture of, and international trade in, drugs through, primarily, government reporting received by its secretariat. With respect to illicit manufacture and trafficking of drugs, analyses of the Board's secretariat are based also on information received from various units of the United Nations International Drug Control Programme and from other organizations, such as the International Criminal Police Organization (Interpol) and the World Customs Organization (WCO). When weaknesses in control systems are identified, INCB seeks the adoption of remedial measures by the Government concerned, mostly through consultations with it. The reports of the Board are also a useful mechanism to ensure that situations requiring attention are being discussed by the appropriate international bodies. In 1994, the Commission expressed the hope that the Board would publish in its annual report the outcome of its consultations with States, without infringing the provisions relating to confidentiality of information contained in the conventions.[9] In recent years, INCB reports have contained a clearer reference to specific "worrying" situations than was the case in the past. "The INCB, as a technical body, has an impressive record of encouraging compliance with provisions in the Single and Psychotropic [1961 and 1971] Conventions by discreet action".[10] There are examples of party reservations that touched on essential principles of the 1988 Convention and were dropped as a result of INCB intervention. However, until the present time, INCB has not made use of the final steps foreseen in the 1961 and 1971 Conventions against a country that failed to adopt necessary remedial measures.

13. INCB organizes country missions to gain a more comprehensive and direct awareness of drug abuse situations and problems involving treaty implementation. As a result of those missions, national legislation has been strengthened and the coordination of national drug control efforts improved; in appropriate cases, INCB has recommended that technical or financial assistance be provided in support of governments' efforts. However, a number of INCB country missions have been postponed in recent years owing to limited regular budget funding and to the continuing expansion of the work of the Board. The Economic and Social Council, in its resolution 1996/20 of 23 July 1996, encouraged the Board to intensify its programme of country missions and also encouraged the Executive Director of the United Nations International Drug Control Programme "to support the Board in its efforts to hold periodic consultations with Governments and to provide the Board with information on progress achieved and deficiencies noted in programmes".

14. It was expected, in 1991, that greater synergy between the various units of the Programme would be realized after integration of the Board's secretariat within the Programme, while the secretariat continued to be responsible to the Board for substantive matters. The information available to Board members through the Programme and the support of its field network have been valuable in the preparation and in the course of the missions; however, in general, the potential for collaboration between INCB and the Programme has not been fully exploited. Substantive studies and comments requested by INCB require contributions from several Programme units; studies are frequently prepared by Programme staff in addition to their normal workload, and the timeliness and quality of the documents are uneven. Conversely, the Executive Director of the Programme has rarely requested assistance from INCB. The advocacy role of the Board, for example, is generally not put to use by the Programme to facilitate the resolution of "worrying" situations. The review by the Central Evaluation Unit of internal documents indicates that Programme staff are of the view that, as most INCB secretariat work is related to the analysis of statistical data, it has little operational relevance for the Programme field network. However, the role of the INCB secretariat has operational aspects; for example, an increasing number of competent national authorities are requesting the assistance of the Board in verifying the legitimacy of individual shipments and are providing alerts to other Governments about attempts at diversion. There are

examples of collaboration of Programme field offices with INCB that contributed to preventing diversions. This collaboration could be further developed in several areas, including for the control of licit substances, where mandates are clear and systems in place are well established.

C. Assessments of implementation

1. Commission on Narcotic Drugs

15. At meetings of the Commission, delegations have frequently expressed concern about trends of the global drug problem reported by INCB. The General Assembly, in its resolution 48/12 of 28 October 1993, requested the Commission, with the support of the United Nations International Drug Control Programme and in cooperation with INCB, "to monitor and evaluate action at the national and international level in implementing the international drug control instruments, with a view to identifying areas of satisfactory progress and weakness". With the support of an ad hoc intergovernmental advisory group, the Programme prepared a report to enable the Commission to identify concrete action-oriented recommendations on the issues covered by resolution 48/12. In section IV of its resolution 51/64 of 12 December 1996, the Assembly decided to convene a special session in 1998 "devoted to assessing the existing situation within the framework of a comprehensive and balanced approach that includes all aspects of the problem [of illicit drugs], with a view to strengthening international cooperation to address the problem". The Commission decided that the preparatory process should focus on the reaffirmation of the political commitment of Governments to international drug control, on the issue of demand reduction and on a number of strategic measures.

2. International Narcotics Control Board

16. In 1994, in its report on the effectiveness of the international drug control treaties, INCB drew the attention of Governments to areas where the treaty provisions within the Board's mandate had not been effective enough or had not been adequate. The Board commented that "it is particularly important for national drug control legislation to be continuously reviewed and evaluated in a systematic manner ... The Board is not equipped at present to conduct such an analysis on a regular, country-by-country basis".[11]

3. Role of the United Nations International Drug Control Programme

17. The Economic and Social Council, in its resolution 1996/20, encouraged INCB to continue to evaluate the global drug problem and encouraged the Executive Director of the Programme "to provide the Board with information on progress achieved and deficiencies noted in programmes to reduce the illicit demand for and supply of [illicit drugs], as well as in control measures governing their transit". Treaty implementation depends on the adoption of national drug control legislation as well as other factors such as law enforcement capacity or the existence of rehabilitation programmes for drug users. Regarding the review of drug control legislation, the Programme prepared for the thirty-eighth session of the Commission a review of "the implementation of the treaty provisions in national legislation, which [INCB] hopes will contribute to providing a basis for the beginning of a general evaluation".[11] Several units within the Programme are contributing to such work. For example, the Legal Affairs Section has produced a legal brief summarizing the legislation passed by countries to implement the conventions and has made contributions to INCB reports that were appreciated. However, the task of systematically reviewing drug control legislation is not specifically identified in the 1997 UNDCP Organization Handbook (UNDCP/OH/Rev.1) and no unit appears responsible for it or for the coordination of related activities within the Programme.

D. Modifying the scope of the conventions' schedules

18. Timely decisions on modifying the scope of the conventions' schedules are required in order to ensure the efficacy of the international drug control system. Under the 1971 Convention, the "similarity concept", used for the scheduling of new drugs under the 1961 Convention, was replaced by more complex criteria. INCB observed that, as a result, Governments have been hesitating "to send notifications for changing the scope of control of the 1971 Convention"; WHO initiated all recent reviews, and, "in order to avoid arbitrary decisions, [it] was forced to build up a complex and lengthy 'evaluation' mechanism".[12]

19. One recent example of the scheduling problem concerns amphetamine-type stimulants. Following Economic and Social Council resolution 1995/20 of 24 July 1995, expert meetings convened by the Programme to discuss countermeasures against the abuse and illicit trafficking in amphetamine-type stimulants concluded that the

Commission should initiate a process designed to resolve the problem of divergent scheduling principles, criteria and procedures under the three treaties regarding the control of amphetamine-type stimulants and their precursors. The Council, in section II, paragraph 10, of its resolution 1997/41 of 21 July 1997, urged the Executive Director of the Programme to initiate a review of the various means, such as generic scheduling, used by Governments to control amphetamine-type stimulants and their by-products or analogues. With a similar concern in regard to all synthetic drugs, in 1997, the Council of the European Union adopted a Joint Action, with a view to establishing a system for the rapid exchange of information and risk assessment through which new synthetic drugs not currently listed in any of the schedules to the 1971 Convention, and which pose a comparable serious risk to public health as the substances listed in schedules I and II thereto, may be placed under control in member States of the European Union. That initiative meets the need to provide the European Union with a more flexible and rapid mechanism than previously available at the international level.

E. Global monitoring of additional measures recommended by the conventions

20. Global monitoring and evaluation are particularly important for the effective implementation of the additional measures recommended by the conventions. For example, regarding measures to counter money-laundering, the 1988 Convention called on parties to develop the necessary regulations. To date, the most developed system is supervised by the Financial Action Task Force on Money Laundering (FATF); FATF, established in 1989 by the major industrialized countries (Group of Seven) and the President of the Commission of the European Communities, has a membership of 26 countries and jurisdictions. Other multilateral initiatives include the Asia Pacific Group on Money-Laundering and the Caribbean Financial Action Task Force. The Inter-American Drug Abuse Control Commission (CICAD) of the Organization of American States (OAS) contributed to counter money-laundering activities in the Americas, including self-assessments in 27 countries. However, in 1995, INCB noted "with concern that no concrete steps have been taken by the international community to effectively coordinate the fight against money-laundering worldwide"; and that the United Nations would be the logical body "to undertake monitoring of progress achieved".[13] At the end of 1996, the Programme and the then Crime Prevention and Criminal Justice Division (now the Centre for International Crime Prevention) launched a joint Global Programme against Money-Laundering; the collaboration of the United Nations International Drug Control Programme with the Centre for International Crime Prevention provides an opportunity to address all aspects of money-laundering. The Programme's model legislation on money-laundering has recently been updated with the participation of the Centre and presents a comprehensive approach to the problem.

21. The conventions leave it to Governments to define measures appropriate for demand reduction; that approach "may have led Governments to underestimate the importance of such measures for a long time".[14] INCB stated that "present treaty obligations may indeed be supplemented by those of other instruments, emphasizing the importance of demand reduction in the context of comprehensive drug control strategies and stating general principles and guidelines"; and that demand reduction of illicit drugs is concerned with prevention and rehabilitation programmes that address at the same time "the use of licit psychoactive substances, such as alcohol and nicotine".[15] The lack of a comprehensive perspective in the promotion of such programmes has, in the past, reduced the usefulness of the Programme's collaboration with other programmes and agencies, such as the United Nations Children's Fund (UNICEF), the International Labour Organization (ILO), the United Nations Educational, Scientific and Cultural Organization (UNESCO) and WHO. The declaration on the guiding principles of drug demand reduction, which has been drafted for the General Assembly at its special session of 1998, emphasizes that "programmes to reduce demand for drugs should be part of a comprehensive strategy to reduce demand for all substances of abuse" (E/CN.7/1998/PC/6, para. 5). In that context, it should be noted that, in addition to the 1961, 1971 and 1988 Conventions, other instruments, such as the Convention on the Rights of the Child,[16] now ratified by all but two States, also address drug abuse issues.

IV. Implementing the comprehensive strategies

A. Gathering information from Governments

22. The Programme is responsible for the implementation of policy decisions of the legislative bodies of the United Nations and for conducting analytical work in support of policy implementation and policy development. In 1991, when the Programme was established, the two main policy documents were the Comprehensive Multidisciplinary

Outline and the Global Programme of Action (see para. 5 above). In carrying out this responsibility, the single most important aspect of the Programme's work is the gathering, analysis and dissemination of information. At the thirty-fourth session of the Commission on Narcotic Drugs, "many speakers recognized that, as a basis for its policy decisions, the Commission needed to receive complete and impartial information on all aspects of the drug situation worldwide".[17] In compliance with convention requirements and various resolutions, Governments generate relevant information and report it to the Programme. The Programme was also mandated to collect additional information required from other appropriate sources and to coordinate information collection by other organizations.

23. In addition to reporting on the licit manufacture of, and trade in, drugs, monitored by INCB (see para. 12 above), the Programme routinely collects information from Governments through two sets of annual questionnaires: the annual reports questionnaires, which cover illicit drug abuse, including policies and programmes; and the questionnaire designed to monitor implementation of the Global Programme of Action. The response rate to the questionnaires has been consistently insufficient to obtain reliable data. The average response rate to the annual reports questionnaires for the period 1990-1997 was 42 per cent; as for the questionnaire on the Global Programme of Action, the rate was considerably lower.

24. The data-collection process at the national level involves a large number of institutions. To compound these problems, different authorities in one country often have different standards and assessments for drug problems (see para. 30 below). One of the criticisms of INCB has been that the Programme's processing of the questionnaires does not provide for effective quality checks, as is the case with data reported to the Board. The system relies on what Governments report, but the Programme offers little methodological support, tools or guidelines on how countries could strengthen national drug information systems. Data items requested in the questionnaires are not always clearly defined and leave much room for interpretation. Different requests for information are sometimes sent to Governments on identical subjects, in these two questionnaires and in follow-up to Commission, Economic and Social Council or General Assembly resolutions.

25. There is no strategy guiding the design of questionnaires that would limit the range of questions to needed and reliable information. The Economic and Social Council, in its resolution 1993/35 of 27 July 1993, encouraged the Programme "to integrate its annual reports questionnaire into a single simplified document, which should be coordinated, when appropriate, with other international bodies in order to facilitate timely and complete replies by all Member States"; the request was reiterated in 1994 and in 1996. In 1997, the Programme reviewed the appropriateness of the annual questionnaires and made recommendations to obtain a better response rate and data of better quality. It is planned to field-test a simplified questionnaire in 1998.

26. Additional efforts are needed to continue the development of the software package to be used by national drug control administrations. This package was finalized at the end of 1996 by the Programme, with the support of several Member States; for the moment, it covers, *inter alia*, licit activities and seizure data (see para. 12 above). Many countries and regional organizations have inquired whether additional modules could be made to cover the remaining data-collection activities of the Programme. In the meantime, a number of organizations and initiatives – such as CICAD of OAS, the multi-city monitoring network, or the European Monitoring Centre for Drugs and Drug Addiction (EMCDDA), set up to draw a reliable picture of the drug problem in Europe – have begun conducting surveys and studies, at the national, regional and global levels, sometimes looking at different aspects of the same situation. WHO and its regional offices collect information about psychoactive substances available through regional and national epidemiology networks. Greater information-sharing between such organizations and initiatives is needed to avoid duplication of efforts and avoid placing additional and conflicting demands on national and regional information sources. EMCDDA stated that, in addition to information provided directly by Governments, it was collecting information collated from various national sources by national focal points that have been designated by Governments and that it was implementing procedures and criteria for quality control on the data received.

B. Information-processing capacity of the United Nations International Drug Control Programme

27. The Programme's Information Resources Management Branch was responsible for developing and managing "an integrated information system, including databases on seizures of illicit drugs, precursors, money-laundering and information on the nature, trends and patterns of abuse, as well as on licit supply of and demand for [drugs]".[18] Those responsibilities have not been fully carried out. The annual reports questionnaire database is fragmented and

inaccessible for data more than four years old. Advice given in the context of Programme-funded projects for strengthening national drug information systems is not coordinated within the Programme. Vast amounts of other data and information obtained from heterogenous sources, constantly coming to the Programme, are not organized and hence largely inaccessible. The Central Registry was "decentralized" in 1995. Delegations commented to the Central Evaluation Unit that different sections of the Programme may request from them information that they had already transmitted to the Programme. The Economic and Social Council, in its resolution 1996/20, requested the Executive Director of the Programme to report to the Commission at its fortieth session on current efforts to collect and analyse information, with a view to unifying and simplifying the collection system for use by the Governments and the Programme, including INCB.

28. The Programme has taken a number of initiatives to address well-defined sectoral information needs, including the following:

(a) The INCB database for the control of chemicals used in the manufacture of illicit drugs – precursors – has been successfully developed;

(b) A data-sharing project with the International Criminal Police Organization (Interpol) and WCO, initiated in 1992, was put on hold by the Programme during the 1994-1995 funding cuts. The project was relaunched in 1996, this time using the Interpol software, with the goal of establishing a common data set on seizures of illicit drugs and of identifying subjects in which the production of joint analytical papers would be of strategic value to Governments. By the end of 1997, the data-matching pilot tests have been successfully conducted.

29. The implementation of the more comprehensive International Drug Abuse Assessment System (IDAAS) proved more problematic. Following a 1983 resolution of the Commission, IDAAS was established in 1988 to improve the overall quality of information submitted to the Commission on extent, patterns and trends of drug abuse worldwide. In 1995, an internal evaluation of IDAAS concluded that the System had been maintained by the Programme as a response to specific mandates and was not a comprehensive system for gathering and disseminating data. During 1996 and 1997, there were virtually no resources to operate the project.

30. In 1997, the Programme produced its first *World Drug Report*, which aimed at providing a global overview of the drug problem. The *Report* stressed that "wide divergences in the definition of terms and in methodologies for collecting and analysing data preclude significant comparisons over time or between countries [and that] some gaps in our knowledge could be bridged by a more conscientious and homogeneous approach to data collection".[19] In particular, the lack of reliable routine indicators to provide a better understanding of a country's drug problems impedes efforts to share available information and make it relevant for decision-making. Several organizations have related ongoing work in their domains of concern. At the Programme, during the period 1996-1997, limited work took place for the development of analytical tools and to review the possibilities of sharing information with other organizations. In 1997, the Programme convened an expert meeting with representatives of major institutions in the field of drug information and of regional networks on drug epidemiology to review their ongoing activities and agree on exploring the potential of collaboration in the following areas: (a) to analyse the scope of existing drug information systems; (b) to improve the comparability of key indicators; (c) to identify model national drug information systems; and (d) to improve early warning systems.

C. Analytical activities and issues

31. For many domains of concern to the Programme, a great deal of relevant sectoral expertise exists in agencies of the United Nations system and in other organizations. In its interactions with specialized agencies, the comparative advantages of the Programme are its multidisciplinary staff and extensive field experience. In some areas, such as forensic and toxicology activities carried out by its Laboratory, the Programme has a long-established tradition of cooperative activity. In others, such as demand reduction and money-laundering, cooperative activities are recent. Regarding drug law enforcement, the Programme is making use of the specialized expertise available at WCO and the International Criminal Police Organization (Interpol).

1. The United Nations International Drug Control Programme Laboratory

32. One central activity of the Laboratory, established in 1954, is to establish and maintain, in collaboration with a network of national and regional institutions, internationally accepted scientific and technical standards and methods for adoption by laboratories around the world. Although the methods have not yet been validated in a collaborative exercise, the system of choosing methods using consultative meetings has proved to be expeditious and acceptable to most countries. The Laboratory distributes reference samples

of drugs under international control, and their metabolites and precursors; for most laboratories in developing countries, the Programme is the only source of drug standards. The Laboratory also prepares and distributes to law enforcement authorities two types of identification kits for the detection, at such sites as border points or airports, of drugs and precursors under international control. Furthermore, the Laboratory contributes to the work of INCB and is represented in the advisory expert group reviewing new substances for inclusion in convention schedules. Its expertise is a basic necessity for the work of the Legal Section in answering legal questions from Governments or providing assistance on updating national laws requiring scientific as well as legal inputs.

33. Since 1992, training of laboratory personnel in developing countries was decentralized from the Laboratory to regional training centres and collaborating institutions around the world. The international quality assurance programme developed by the Laboratory since 1993 could, given sufficient resources, evolve as a proficiency testing programme; through this programme and other capacity-building exercises, the need for basic assistance packages is expected to decrease. Owing to limitations of resources, the Laboratory has sometimes implemented new mandates after long delays. Even for ongoing mandates, the level of activity may be insufficient; for example, recommended methods and standards are updated once every five years, which is insufficient to take into account the present rate of change in the global drug situation.

34. A number of government representatives are of the view that, within existing mandates and given the necessary resources, the Laboratory should be more pro-active, assisted by expert groups, in studying or promoting research on new synthetic drugs, gathering more information on health aspects of drug abuse and studying other approaches than the technology available for the detection of illicit substances present in large containers, which is very expensive. Those initiatives could be formulated as projects of the Programme Fund and implemented in collaboration with WHO, WCO and other specialized organizations.

2. Promotion of methodologies and best practices

35. The research and analytical work of the Programme is designed to identify best practices, promote the adoption of common definitions and standards – the work of the Laboratory being the best example – or study the mutual influence between the illicit drug phenomenon and other social, economic and political factors. Recent examples of the Programme's research work include the following:

(a) The review of abuse and illicit trafficking in amphetamine-type stimulants (see para. 19 above). Here, the Programme's work has contributed to the development of international policy on a situation perceived originally as a local problem with the potential of becoming a global one;

(b) The Programme has made progress in developing a model for making comprehensive assessments of illicit cultivation. On a few occasions, the Programme has been in a position to provide better available estimates of illicit cultivation than did other official sources. Based on its experience with various survey methods, the Programme intends to promote standards and effective methodologies in this area;

(c) Regarding drug-abuse situations, in regions where important information gaps exist, the Programme has enhanced its capacity to collect and analyse data, particularly through rapid assessments; several organizations stated to the Central Evaluation Unit that the Programme's work on the rapid assessment methodology, which needs to be further developed and tested in collaboration with specialized institutions, is a good example of its role in the promotion of methodologies and tools that can be used by national experts.

Not all research work was equally appreciated, however. For example, work on "best practices" appeared insufficiently developed. Several factors may have contributed to this situation: the lack of a comprehensive evaluation of policy effectiveness and insufficient networking to integrate the relevant experience accumulated by other institutions (see paras. 42-43 below).

D. Advocacy

1. Global clearing-house function of the United Nations International Drug Control Programme

36. The Global Programme of Action called on Member States to strengthen the role of the United Nations as an information centre on the drug problem. To raise public awareness of the negative effects of drug abuse and of effective countermeasures, it was expected that information campaigns would intensify around the promotion of the United Nations Decade against Drug Abuse (1991-2000). In 1994, UNICEF, which had valuable experience in this respect, offered to assist the Programme in strengthening its communication capacity. The Programme was unsure of the direction to take, and it was only in 1997 that an overall strategy to organize and coordinate information activities was adopted and launched. It is too early to review its

results. In spite of the lack of an overall strategy, a few individual initiatives, such as the global "Sports against drugs" campaign in cooperation with the International Olympic Committee, attained the desired visibility.

37. Government agencies interviewed by the Central Evaluation Unit were of the view that, although Programme representatives provide, upon request, the information available to them, the Programme's role as a global clearing house for information on effective policies and techniques, or on assistance available, has not been carried out. Its efforts to ensure that government delegations at Vienna have access to institutional and technical information that the Programme generates were noted. However, at the country level, awareness of the Programme's purpose and programmes rarely extends beyond inner circles of the central Government. Professional groups concerned with aspects of drug abuse control are not always informed of the existence of United Nations programmes. Even, in countries where national drug control legislation has recently been adopted, judges do not necessarily have access to information on the international drug control system other than that released by the mass media. Frequently, within organizations collaborating with the Programme, knowledge of its objectives and capacity to implement or support programmes does not extend beyond the officer in direct contact with the Programme. No document provides this "corporate" information in a brief and concrete manner.

38. There are examples of newsletters produced by the Programme's regional offices that are useful channels for communication between those involved in drug control programmes in the region; but publishing costs impede their development. Recently, the Programme has begun to publish a few selected papers presenting the results of its research work with policy implications – its "technical series" – which could generate wide interest. The series distribution list is based on the contact lists of various units and needs to be derived in a more systematic manner. The Programme has not defined a general policy guiding the dissemination of material such as country profiles, reports of experts on specific issues, summaries of legislation or the exchange of information between those involved in drug control activities. There is a general perception that the Programme is reluctant to share information and to make it easily accessible to all those who may need it. The Economic and Social Council, in its resolution 1993/35, reaffirmed the request to the Programme to disseminate, through the database of IDAAS, the information on demand reduction received from Governments, specialized agencies of the United Nations system and other intergovernmental and non-governmental organizations. In 1997, the Programme's country profiles, or country "situation reports", were still not widely disseminated. As a result, there were situations where government representatives outside Vienna requested profiles on the drug situation in their own country from sources other than the Programme.

2. Mobilization of non-governmental organizations

39. To ensure broad-based support for drug control objectives, as requested by the General Assembly in several resolutions (see, for example, resolution 47/101, para. 6), the Programme convened or supported the organization of meetings with non-governmental organizations. To date, however, the Programme does not seem to have formulated a clear policy in dealing with non-governmental organizations and ways in which to make use of their work in this field. For example, most non-governmental organizations in consultative status with the Economic and Social Council are not invited to concern themselves with the work of the Commission on Narcotic Drugs; invitations to attend its sessions are sent to about 60 non-governmental organizations. Selection criteria are obscure to most of them. No working group arrangements with non-governmental organizations have been promoted, as has been done in other programmes; such arrangements could have been based on mandates contained in the Global Programme of Action. In November 1997, when most of the preparatory process for the 1998 special session of the General Assembly was completed, the accreditation procedure for the participation of non-governmental organizations at the special session had not yet been initiated.

40. In 1989, the Vienna Non-Governmental Organization Committee on Narcotic Drugs had made proposals to develop a non-governmental organization directory. In 1996, the Programme published a directory of non-governmental organizations working in drug demand reduction to facilitate networking and the exchange of information and expertise among them. The directory, presented as one of the outcomes of the 1994 World Forum on the Role of Non-Governmental Organizations in Drug Demand Reduction, was prepared without consulting the Vienna Committee. The directory includes 359 non-governmental organizations worldwide and is based on replies to a questionnaire sent by the Programme; it should be noted that the Vienna Committee itself maintains a list of more than 1,000 non-governmental organizations. As a result of the methodology used for the directory's development, non-governmental organizations known for their demand reduction activities do not appear in it, and the information it contains is general and of limited usefulness.

41. The Programme works with non-governmental organizations as project partners on the basis of their potential contribution to the fight against drug abuse. A number of grants are awarded to national non-governmental organizations on the basis of proposals they submit to the Programme. In 1996, 11 per cent of Programme funds went to non-governmental organizations or non-governmental organization-sponsored projects. However, in funding those projects – or sometimes in undertaking important events with non-governmental organizations – the Programme does not consult or even inform the Vienna and New York Non-Governmental Organization Committees on Narcotic Drugs, which include international as well as national non-governmental organizations. Although such coordination is not a requirement under United Nations administrative rules, it should be noted that several networks of non-governmental organizations coexist – some are supported by the Programme, others are not – and, without adequate consultation, they will implement uncoordinated and, to some extent, duplicative strategies. The Programme did not develop clear guidelines for cooperation with non-governmental organizations that could be promoted with the assistance of the two Non-Governmental Organization Committees on Narcotic Drugs at Vienna and New York. A number of non-governmental organization networks are utilized by agencies of the United Nations system. For example, UNESCO is implementing a project in the field of drug abuse prevention designed to reinforce the networking of non-governmental organizations and educational institutions; support is needed for such initiatives, which aim primarily at tapping the potential of existing networks.

3. Promoting other collaborative efforts

42. In 1991, the Commission on Narcotic Drugs, in its resolution 1 (XXXIV), requested the Programme, in order to strengthen the role of the Programme as the main focus for concerted international action for drug abuse control, to make an inventory of all regional and subregional intergovernmental organizations and relevant non-governmental organizations engaged in the fight against drug abuse in all its aspects and to use the inventory as a basis for the development of proposals to improve mutual collaboration between the Programme and the organizations involved.[20] The resolution has not been implemented; the Programme does not maintain the inventory envisaged as a basis for collaboration and to build an information network. According to the medium-term plan for the period 1992-1997, the Programme would enlist the active participation of institutions with advanced knowledge and technology and promote international collaboration and coordinated training programmes.[21] Only the Laboratory relies now on a well-developed network of collaborating institutions in 35 countries worldwide. Other units have recently established formal agreements for collaboration with 11 institutions selected according to their capacity to contribute to the work-plan objectives of those units. However, this effort cannot be said to realize the Programme's mandated role to be the main focus for concerted international action. A few regional organizations, which, in general, are satisfied with Programme collaboration, observed, nonetheless, that sometimes Programme field offices or divisions act as if they were not aware of what other entities have done and of their capacity for research.

43. Increased collaboration with organizations conducting relevant research is needed to present jointly to policy makers the results of assessments and policy recommendations. In programme areas where the Programme is formulating far-reaching strategies, supporting evidence from centres with different expertise, and not necessarily agreeing in principle with the Programme, would better convince policy makers of the adequacy of the proposed course of action. For example, in 1997, inputs for the initial formulation of a global strategy towards the elimination of the illicit cultivation of drug crops were not secured by the Programme from organizations with expertise on relevant economic issues. The Programme decided, instead, to carry out a study, with in-house expertise and a limited number of consultants, to provide a blueprint for implementation of the strategy.

44. Governments make requests to different organizations for related work. For example, regarding amphetamine-type stimulants, the Programme carried out a review requested by the Economic and Social Council (see para. 19 above); concomitantly, WHO reviewed the social and health aspects of, and policy responses to, amphetamine-type stimulants use. In the course of 1996 and 1997, WHO, the Programme, and experts within the European Union were all engaged in work on amphetamine-type stimulants. Although an attempt was made to maintain close cooperation, the work – which partly reflected different mandates – was not coordinated well enough to ensure that the conclusions of one group of experts were communicated in a timely manner to the other groups.

V. Operational activities of the United Nations International Drug Control Programme

45. The UNFDAC secretariat was established in 1971 in response to the escalating incidence of drug abuse throughout the world, in order to develop a plan for concerted action against drug abuse and to mobilize voluntary contributions to finance it. The main objectives of the Programme's operational activities under the Fund are (a) to help Governments in setting up adequate drug control structures and to elaborate comprehensive national and regional drug control strategies and programmes, and (b) to assist them in the development of subregional initiatives and plans of action. In spite of the Programme's difficulties and shortcomings, reviewed below, the operational activities of the Programme are appreciated by recipient and donor countries alike.

A. Legal assistance

46. The adoption of national drug control legislation is considered a prerequisite to the effective implementation of strategies and programmes (see para. 10 above). Since 1992, in response to the Global Programme of Action (General Assembly resolution S-17/2, annex, para. 52), to complement its existing activities, the Programme established its Legal Advisory Programme. Through this programme, assistance is offered to States whose legislation is found not to meet the requirements of the conventions. A large number of States have become parties to one or all three international drug control conventions after receiving assistance – 17 States to the 1961 Convention, 25 States to the 1971 Convention and 38 States to the 1988 Convention. Legal advisory support is provided during the domestic passage of legislation and, through legal workshops, to help identify and resolve implementation problems that arise. In addition, model legislation was developed to promote more uniform implementation of the conventions and to facilitate international cooperation; such model laws are updated, taking into account experience and new developments.

47. All officials interviewed by the Central Evaluation Unit commented positively on this aspect of the Programme's work and were of the view that the Legal Advisory Programme – with a staff of two advisers – had been insufficiently developed. The Legal Advisory Programme works closely with an informal network of interregional and regional partners. This network needs to be extended, in particular for the training of prosecutors and judges; to this end, new agreements with partners were concluded in 1997. Joint work with existing partners needs to be evaluated. The majority of States parties to the conventions have now completed their legislative upgrading or are at an advanced stage of the process. However, many still require assistance in effectively implementing the legislation, particularly in relation to complex new issues, such as freezing and forfeiting the proceeds of crime, or the regulatory and criminal justice aspects of the analogue trade. Although the legal workshops referred to in paragraph 46 above provided some assistance, a number of national authorities commented on difficulties in adjusting national penal codes to take into account model legislation. In general, the usefulness of the Programme's initial assistance is compromised by the lack of continued support for implementation, which is needed as long as the capacity of national institutions is not self-sustainable.

B. Promotion of national master plans

48. The Programme encourages Governments to adopt drug control master plans; this approach was conceived by UNFDAC in the early 1980s in order to promote instruments containing comprehensive analyses of drug control issues and requirements for programme implementation at the national and regional levels. The Programme assists Governments in the formulation of these master plans, which can be a long process. By the end of 1996, 70 countries or regional groupings had adopted master plans; during the period 1992-1996, the Programme had provided some form of support, such as missions or more comprehensive projects, to 37 of them. The model format and guidelines prepared by the Programme, as well as advice and assistance, were found, in general, useful. A Programme evaluation in 1997 noted that when first developed by UNFDAC, master-planning exercises were undertaken with only limited involvement on the part of the recipient countries. There are still cases where master plans are drafted largely by Programme project personnel, and the link between the master plans and the national programmes they are designed to coordinate is not always clearly perceived by national authorities. Several organizations of the United Nations system commented to the Central Evaluation Unit that the Programme suffers from the lack of involvement of the specialized agencies in the development of national master plans. In the most successful cases, the Programme limited its role to advocacy activities until Governments themselves initiated the planning process. In such cases, Programme personnel were perceived as advisers to national

ministries rather than as outsiders, and implementation was easier to coordinate, including the delivery of international assistance. In 1996, the Commission, in its resolution 6 (XXXIX), invited the Programme "to coordinate the use of existing regional forums to share experience relating to the development, implementation and evaluation of national drug control master plans".[22]

C. Facilitating subregional and regional collaboration

49. At the subregional level, the Programme is promoting cooperation using more flexible planning instruments, such as memoranda of understanding and, where warranted by circumstances, subregional action plans. Assistance is provided from programme headquarters by a field office or, in the case of the Economic and Social Commission for Asia and the Pacific, in collaboration with the regional commission. All government officials interviewed by the Central Evaluation Unit gave clear examples of how useful Programme initiatives had been in facilitating bilateral or subregional collaboration. The work contributed to the definition of common policies and procedures and helped to establish direct professional contacts between government law enforcement and other agencies and, as a result, the subregional dimensions of the drug problem, such as cross-border trafficking routes, displacement of illicit crops, or precursor control, could be more effectively addressed. The Programme also supports joint development of government institutions and assists national experts in providing training to neighbouring countries, contributing to regional capacity-building.

50. Another aspect of Programme support to regional collaboration is its servicing of the subsidiary bodies of the Commission, the Subcommission in the Near and Middle East and the four regional gatherings of Heads of National Drug Law Enforcement Agencies (HONLEA). The regional HONLEA have provided effective forums for networking among drug law enforcement authorities and the direct exchange of views and information. The Commission welcomed the decision to review on a biennial basis the status of implementation of recommendations adopted at meetings of subsidiary bodies and considered that delegations at meetings of HONLEA and the Subcommission should be headed by those who had the principal responsibility for law enforcement efforts.[23] The Commission, in its resolution 4 (XXXIX), also requested the Executive Director of the Programme to consider organizing forums on demand reduction at the regional level.[22] Two forums were organized: one in Tunisia in 1996, and the other in the United Arab Emirates in 1997.

D. Coordinating assistance for drug control programmes

51. The Programme was requested to facilitate the coordination of international assistance in several areas. For example, the General Assembly requested the United Nations to act as a clearinghouse for information on training programmes in drug law enforcement (resolution S-17/2, annex, para. 80). In response, the Programme established a training unit and, in 1992, a first meeting of training experts from nine countries with international assistance programmes, and the International Criminal Police Organization (Interpol), was held. In 1993, the Programme drafted a training strategy; it proposed, *inter alia*, to collect systematically information on ongoing and planned training activities in all sectors and to initiate the development of programmes in sectors insufficiently serviced. The Training Unit was abolished the same year in the expectation that the coordination of training could function in a decentralized manner. Various substantive units and field representatives have subsequently made efforts to coordinate international and national training programmes; however, no comprehensive coordination exists. Organizations commented to the Central Evaluation Unit that training opportunities they offer have not been used to their full extent.

52. Requests are also made for coordination of drug control assistance by geographical areas. For example, in central and eastern Europe, the Baltic States and the Commonwealth of Independent States, donor countries recommended, in 1993, that the Programme take a more pro-active role in establishing priorities for all the participating donor countries.[24] In 1993, the Programme established a Coordination Mechanism, which included an Assistance Monitoring and Information System, involving donor and recipient countries. Information tools, such as strategic country profiles, provide a clear and complete picture of the drug-related situation and of major trends, as well as past, ongoing and planned assistance activities in the region. In 1995, the internal evaluation of the Coordination Mechanism concluded that the creation of similar mechanisms in other regions appears to be a viable and desirable option but should be examined on a case-by-case basis. In 1997, a system identical to the Assistance Monitoring and Information System was installed in the Programme's regional office for the Caribbean.

E. Priority setting

53. The 1985 in-depth evaluation of the United Nations drug control programme considered by the Committee for Programme and Coordination concluded that "the limited resources of UNFDAC are best utilized for producing catalytic change rather than major substantive change" (E/AC.51/1985/8, para. 113). This has generally continued to be the case. The activities of the Programme have led to a number of changes and initiatives in drug control in some countries but operational assistance has not been commensurate with the escalating problems of drug abuse, illicit traffic and related phenomena. In 1996, an external review commented that, in many cases, Programme contributions to drug control efforts have been too small to make a significant impact. During its debate on the medium-term plan for the period 1998-2001, the Commission considered that "increased attention should be given to establishing priorities and developing support for the programme"[25] Criteria for selecting priorities include identification of specific drug control targets needed for Programme involvement.

54. At the end of 1997, the Programme decided to review the experience accumulated over time in the elimination of illicit crops to formulate a global strategy to eliminate such crops; the strategy would result in a comprehensive proposal for action by national Governments, bilateral and multilateral institutions and the Programme. Most officials interviewed by the Central Evaluation Unit saw merit in this approach to promote an initiative with a clear time-frame and objectives designed to eliminate an important element of the drug problem, or at least to reduce it to a manageable level. The Programme intends to apply the same approach to other core areas of concern, such as demand reduction, stimulants, organized crime and terrorism. The last two issues require the involvement of the Centre for International Crime Prevention.

F. Coordination within the United Nations system

55. The General Assembly, in its resolution 44/141 of 15 December 1989, requested the Secretary-General to coordinate at the inter-agency level the development of a United Nations system-wide action plan on drug abuse control aimed at the full implementation of all existing mandates. Coordination was conducted through the ACC machinery, in particular the ACC Subcommittee on Drug Control. The Programme has made several attempts to update and extend the United Nations system-wide action plan on drug abuse control but, as it now stands, it is nowhere near system-wide. Among those organizations that participated in the System-wide Action Plan, existing mechanisms could not ensure that the Plan would be used to guide programme implementation, particularly when new activities were developed in response to specific agency mandates and existing funding. Needed consultations with agencies by the Programme to obtain technical inputs and to avoid the risk of duplicative activities did not always take place. The System-wide Action Plan was useful, for the agencies participating actively in the exercise, in facilitating agreement on problem definition and on main goals to pursue within the United Nations system; however, regarding joint coordination of activities, the "top-down" approach to planning that the System-wide Action Plan followed proved inadequate.

56. The Programme has also strongly advocated drug-related issues at the ACC Consultative Committee on Programme and Operational Questions, or in other forums such as the Joint Consultative Group on Policy, so that significant drug problems receive adequate attention in United Nations strategic frameworks and other policy documents. In 1997, the Programme participated actively in the pilot work of the United Nations Development Assistance Framework initiative. Regarding international financial institutions, the Programme attempted to bring drug control aspects into their development schemes; examples of cost-sharing of drug control projects by recipient Governments, partly covered by international financial institutions loans, show the potential of such effort. However, in recent years, concerns have been expressed by the Commission and the General Assembly about limited progress by United Nations agencies to incorporate drug problems into their programmes.

57. The Programme has concluded formal cooperation agreements with several agencies that provide a context for increased collaboration. For example, in April 1996, the Programme and WHO signed a joint programme framework; two years later, 10 initiatives for collaboration have been identified. In September 1996, a cooperation framework was signed between the Programme and the Joint and Co-sponsored United Nations Programme on human immunodeficiency virus/acquired immunodeficiency syndrome (HIV/AIDS) (UNAIDS) in order to deal with direct linkages between HIV/AIDS and drug abuse. Under another kind of arrangement, since 1994, small amounts of funds contributed by one donor have been earmarked to finance drug control components of new projects and programmes in other United Nations agencies and

development banks, primarily in low-income countries. Between 1994 and 1996, 17 projects in eight agencies were implemented; this catalytic role could be developed further. In its comments on an earlier draft of the present report, UNICEF stated that, over the past three years, UNICEF has had a growing and productive collaboration with the Programme, and that in the formulation of formal collaborative arrangements, beyond existing informal arrangements, the Programme and its partners will need to be clear about the mutual benefit of such arrangements; UNICEF, for example, can offer operational capacity at the national level and a growing focus on programmes for young people, while it looks to the Programme to provide or identify technical and financial support.

G. Programme capacity

58. After the integration of the Fund secretariat within the Programme, the Programme further developed its technical expertise at headquarters and within its field office network. In 1990, there were 55 Professional posts at headquarters and 16 in country offices; in 1997, the numbers were, respectively, 108 and 64. In 1997, there were 20 field offices, many of them with regional or subregional responsibilities. Increased deployment to the field is planned for 1998. Over the past 10 years, the number of projects funded by the Programme has increased from 51 in 1986 to 301 in 1996. However, there were concerns regarding the capacity of the Programme to absorb additional resources and to expand its technical cooperation programmes accordingly, as envisaged in the Global Programme of Action.

59. Relatively high levels of the Fund's balance have been maintained in spite of guidelines received from the Commission as early as 1991. The Fund's balance was reduced from $100.2 million at the end of 1991 (see E/CN.7/1992/CRP.10, table 8) to $61.2 million at the end of 1994. Between 1994 and 1997, the Fund's balance remained at the same level; it was $61.8 million at the end of 1997. The Programme intends to further reduce the Fund's balance in future years until it reaches a minimum of approximately $30 million.

60. Problems of programme implementation are also reflected in underexpenditure of funds against final project budgets. During the period 1994-1995, underexpenditure was about 25 per cent; in Africa it was 42.8 per cent; by programme sector, underexpenditure was the highest under "Demand reduction" (40.8 per cent). The Programme attributed this low delivery to a low level of preparedness of recipient countries. The Programme recognized the need to strengthen monitoring and management of projects to ensure that they achieve what was intended and, to that end, it reorganized its field network. However, the application of criteria for establishing field offices, which include the level of programme resources managed by the office, still needs to be reviewed. Underexpenditures anticipated for the biennium 1996-1997 were of the same magnitude as for the previous biennium.

61. Slow programming and implementation were also attributable to the Programme's procedures and working methods. Projects, although belonging to plans already approved, required technical clearance within the Programme from up to five or six different units before being submitted to the Project Review Committee. The conclusion of agreements with partners and executing agencies can take several years, complicated by the lack of well-defined strategies to orient consultations and insufficient delegation of authority. The process is so lengthy that interested partners have been discouraged; some projects were no longer relevant when finally approved. United Nations rules and regulations on finance and personnel were also an impediment to faster programme implementation. Regarding other aspects of the efficiency of programme management, Programme practices were sometimes uneconomical; for example, staff travel could have been reduced by sending smaller delegations to meetings and seminars and through increased utilization of new communication technologies and increased delegation of authority to field representatives. In comments on an earlier draft of the present report, the Programme stated that it "is currently undergoing a major exercise to decentralize its operations and streamline organizational responsibilities and procedures. The issues addressed in paragraph 61 [of the present report] are of central concern in this reform exercise". In March 1998, the Programme issued a series of management instructions outlining the main points of its management reform.

H. Legislative guidance

62. One of the main goals pursued through the establishment of the Programme was to "ensure that the formulation and execution of operational activities are consistent with the provisions of the conventions, the Comprehensive Multidisciplinary Outline and the Global Programme of Action and that appropriate legislative guidance is given in this respect" (A/45/652, para. 6). Government representatives have expressed concern about the Programme's ability to pursue the comprehensive

approach and priorities agreed upon. Too many projects were planned without clear links to other aspects of the drug problem in a given country or region. The Programme has made efforts to enhance its planning through country or regional programme frameworks but the Project Review Committee itself has made decisions that were not always in agreement with the orientations contained in frameworks and budget planning documents. In a related matter, the Advisory Committee on Administrative and Budgetary Questions stated, in 1995, that deficiencies in regard to financial planning, in its opinion, could be in part attributed to the fact that the Programme is donor driven, the number of donors is still small and the level of contributions is negotiated individually with each potential donor (E/CN.7/1995/18, para. 2). In presenting its proposed budget outline priorities for the biennium 1998-1999, the Programme stated that it "will shift from a project activity approach to a programme approach" (E/CN.7/1997/9, para. 95).

63. Before the establishment of the Programme, UNFDAC was not formally responsible to the Commission on Narcotic Drugs, although its programmes adhered to the guidelines established by the Commission concerning the international strategy and policy for drug control. The General Assembly, in its resolution 46/185 C of 20 December 1991, section XVI, paragraph 2, authorized the Commission to approve "the budget of the programme of the Fund and the administrative and programme support costs budget". The Commission gave broad legislative guidance but the link between the adoption of mandates and the funding of activities remained weak. Main donors organized annual meetings to be kept informed of the Programme's progress in the planning and implementation of a selected number of programmes; those informal meetings, however, did not concern themselves with coordinating funding commitments. Overall, the system in place could not address a number of difficulties, one of which was the decline, after a peak in 1993, in general-purpose resources. Extrabudgetary funds are divided between "special-purpose" (earmarked for specific projects) and "general-purpose" funding; the decline of general-purpose contributions affects programme flexibility as it becomes increasingly difficult to provide for mandated activities not covered by special-purpose funding, as well as to launch new initiatives in response to emerging priority requirements. A mechanism for wider consultations during programme implementation could have offered needed guidance and support in a number of situations. For example, during the 1994-1995 programme cuts, the Programme discontinued some central programmes and lost the benefit of investments already made; in some cases, programmes were restarted at a later time. A number of projects were delayed, although most of the funds required had been mobilized and only small amounts were still lacking. Also, studies requested by the Commission did not proceed promptly to their next phase of development owing to the lack of inter-sessional guidance. In 1996, the Commission observed that measures designed to improve the governance of the Programme, for instance by establishing a special governing body in which both donor and recipient countries could together provide policy guidance and make decisions on the activities of the Programme should be considered.[26] The Economic and Social Council in its resolution 1997/37 of 21 July 1997, requested the Secretary-General to convene a small group of experts, *inter alia*, to identify any measures necessary to strengthen the core activities of the Programme, taking into account the work of the task force on the reform of the United Nations established by the Secretary-General.

VI. Recommendations

64. The following recommendations are based on the findings presented in sections III, IV and V of the present report.

Recommendation 1, Support of the United Nations international Drug Control Programme to the International Narcotics Control Board. To maintain INCB capacity to promote the compliance of Governments with the provisions of the treaties and to assist them in this effort, the results of the integration of the Board's secretariat into the Programme should be reviewed, with due attention to areas where the Programme and INCB can obtain stronger mutual support through increased coordination of their programme of work. This review should be coordinated jointly by the Executive Director of the Programme and the Chairman of INCB. The results of the review should be one of the policy documents guiding the formulation of the Programme's workplan for 1999. [For findings supporting this recommendation, see paragraphs 13 and 14.]

Recommendation 2, Support of the United Nations Drug Control Programme to assessments of the implementation of conventions. To support the work of INCB and its secretariat and of the Commission on Narcotic Drugs, the Executive Director of the Programme should assign responsibility to review and evaluate national and multilateral drug control legislation to one organizational unit of the Programme; this unit should coordinate related work carried out elsewhere within the Programme. Annual reports on the results of this work should be submitted, as

appropriate, to INCB and the Commission. The Programme's senior management should utilize these readings of the effectiveness of the conventions to assist their support of government analysis and to provide a more solid base from which to give advice to Governments. [For findings supporting this recommendation, see paragraphs 16 and 17.]

Recommendation 3, Modifications in the scope of conventions' schedules. Considering the increasing global problem of the use of synthetic drugs and the length of the procedure leading to recommendations to change the scope of relevant conventions' schedules, the Programme should, in close collaboration with WHO, prepare joint Programme/WHO technical suggestions on improving the effectiveness of the present system, without amending the conventions. These suggestions should be presented to INCB and to the Commission in time for its forty-second session, for their consideration and action. [For findings supporting this recommendation, see paragraphs 18 and 19.]

Recommendation 4, Global monitoring of additional measures. (a) For issues covered by the conventions under broad prescriptions and for which Governments are developing comprehensive sets of specific measures, the Programme should monitor progress achieved worldwide and report its observations, as appropriate, to INCB and the Commission to help promote further action by the international community. (b) Monitoring, particularly in relation to such issues as money-laundering and demand reduction, should be done in collaboration with other United Nations and regional activities, to ensure that due attention is paid to aspects that are beyond the scope of the 1961, 1971 and 1988 Conventions. [For findings supporting this recommendation, see paragraphs 20 and 21.]

Recommendation 5, Simplifying government reporting requirements. The Programme should, after establishing proper procedures, utilize information collected by regional and other international organizations from national sources. The Programme should limit its requests to Governments to information not already available from regional and international organizations and which is needed for treaty-based requirements or is essential for programme implementation and policy development. [For findings supporting this recommendation, see paragraphs 23-26.]

Recommendation 6, Integrated information system of the Programme. (a) The Programme should designate a chairman for its informal focal group on information issues who would be responsible for the integrated collection and processing of information throughout the Programme; information management and data analysis personnel, deployed in several units and projects, should be accountable to the chairman of the focal group for their contributions to the Programme's integrated information system. (b) The Programme should, as a follow-up to the 1997 expert meeting on drug information, develop and update, in collaboration with other organizations, guidelines and core indicators that can be used by national drug control authorities and international organizations. [For findings supporting this recommendation, see paragraphs 27-30.]

Recommendation 7, A more active role for the Programme Laboratory. The Programme Laboratory, in addition to its regular programme of work and within existing mandates, should take timely initiatives to carry out or coordinate research on, *inter alia*, new drugs of abuse, health aspects of drug abuse and new technologies of interest for drug control programmes. [For findings supporting this recommendation, see paragraphs 32-34.]

Recommendation 8, Dissemination of information. (a) By the end of 1998, the Programme should adopt a strategy, in conformity with mandates given to the Programme, to ensure that the institutional and specialized information available to it is made accessible to all government personnel and professional groups involved in drug control activities. (b) The Programme should develop its global clearing-house function, starting with the priority mandates given to the United Nations in the Global Programme of Action. In this respect, the Programme should conceive its role primarily as a facilitator for the exchange of information, not a repository of it, taking into account systems already in place worldwide at the global, regional or subregional levels. [For findings supporting this recommendation, see paragraphs 37 and 38.]

Recommendation 9, Promoting collaborative efforts. In compliance with existing mandates, the Programme should promote collaborative efforts in each of its major areas of responsibility. This should be done, to the extent possible, through government-sponsored activities, intergovernmental organizations, existing non-governmental organization networks and professional or scientific associations. A strategy to constitute such broadly based alliances should be developed by the end of 1998 and presented to the Commission on Narcotic Drugs at its forty-second session. [For findings supporting this recommendation, see paragraphs 39-44.]

Recommendation 10, Legal Advisory Programme. (a) When legal assistance is requested by Governments to adopt or adjust drug control legislation and relevant administrative measures, such assistance should include support for effective implementation; the Programme's legal workshops

should help resolve implementation problems related, for example, to adjustments to existing national penal codes. (b) The Programme should identify new potential regional working partners and evaluate and improve joint work with existing ones, in particular to develop further the training of prosecutors and judges. (c) The allocation of resources should permit the Legal Advisory Programme, by itself or through collaborating institutions, to respond to government requests, particularly with respect to monitoring the implementation of legislation, to advise on further adjustments needed and to provide the additional assistance that may be required. [For findings supporting this recommendation, see paragraphs 46 and 47.]

Recommendation 11, Support to Governments in the planning of drug control programmes. (a) To assist in the implementation of government drug control programmes, the Programme should assess needs and identify multilateral and bilateral resources available and gaps in resources. In doing so, the Programme should take into account its earlier experience with the Coordination Mechanism used in central and eastern Europe and apply that Mechanism to all programmes in the form needed to complement coordination arrangements already in place. (b) A focal point for the coordination of drug control training should be re-established in the Programme by the end of 1998; the focal point should ensure that, in the planning of its assistance programmes, the Programme identifies drug control training resources existing within and outside the United Nations system, and takes action to ensure the well-coordinated use of those resources and to resolve gaps in assistance provided by the international community. [For findings supporting this recommendation, see paragraphs 51 and 52.]

Recommendation 12, Strategies aimed at reducing significant elements of the global drug problem. The Programme should formulate, by the end of the United Nations Decade against Drug Abuse, separate comprehensive proposals for action aimed at reducing significant elements of the global drug problem for the seven core areas of concern set out in the Global Programme of Action. Such proposals for action should make full use of the activities of the organizations of the United Nations system and the development programmes of other multilateral institutions and should include a monitoring mechanism. [For findings supporting this recommendation, see paragraphs 53 and 54.]

Recommendation 13, Coordination within the United Nations system. (a) The Programme should use the United Nations System-wide Action Plan on Drug Abuse Control primarily as a strategic framework to encourage interaction at the working level between relevant units of programmes and agencies of the United Nations system, with a view to promoting the programming and coordinated implementation of drug control related activities. Within the context of the ACC Subcommittee on Drug Control, the Programme should monitor these activities in relation to the main goals of the System-wide Action Plan. (b) The Programme should develop collaborative arrangements with all United Nations specialized agencies that have programmes relevant to the seven core areas of concern set out in the Global Programme of Action; collaborative arrangements should take into account, at the country level, the capacity of the United Nations Resident Coordinator system. [For findings supporting this recommendation, see paragraphs 55-57.]

Recommendation 14, Legislative guidance and capacity to implement programmes. The Programme should propose to the Commission at its forty-second session procedures for obtaining inter-sessional legislative guidance to deal with changing circumstances and funding problems that would otherwise impair its ability to implement programmes promptly in agreement with mandated priorities. [For findings supporting this recommendation, see paragraphs 62 and 63.]

65. Under its terms of reference, the Commission on Narcotic Drugs supervises the activities of the Programme. It is desirable that the present report, together with the conclusions and recommendations of the Committee for Programme and Coordination thereon, be brought to the attention of the Commission. The present report takes into account the results of the preparatory process for the 1998 special session of the General Assembly devoted to the fight against the illicit production, sale, demand, traffic and distribution of narcotic drugs and psychotropic substances and related activities. The Programme will need to implement the recommendations of the Committee in the light of the outcome of the special session.

Recommendation 15, Action by the Commission on Narcotic Drugs. The present report, together with the conclusions and recommendations of the Committee on Programme and Coordination thereon, should be submitted to the Commission on Narcotic Drugs at its forty-second session for review and action.

(*Signed*) Karl Th. **Paschke**
Under-Secretary-General
for Internal Oversight Services

Notes

[1] *Official Records of the General Assembly, Fifty-first Session, Supplement No. 16* (A/51/16), part I, para. 55.

[2] United Nations, *Treaty Series*, vol. 520, No. 7515.

[3] Ibid., vol. 1019, No. 14956.

[4] See *Official Records of the United Nations Conference for the Adoption of a Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, Vienna, 25 November-20 December 1988*, vol. I (United Nations publication, Sales No. E.94.XI.5).

[5] *Report of the International Conference on Drug Abuse and Illicit Trafficking, Vienna, 17-26 June 1987* (United Nations publication, Sales No. E.87.I.18), chap. I, sect. A, para. 7.

[6] Ibid., para. 8.

[7] Ibid., sect. A.

[8] *Effectiveness of the International Drug Control Treaties: Supplement to the Report of the International Narcotics Control Board for 1994* (United Nations publication, Sales No. E.95.XI.5), para. 110 (a).

[9] *Official Records of the Economic and Social Council, 1994, Supplement No. 10* (E/1994/30), chap. XI, resolution 7 (XXXVII), para. 4.

[10] *The Canadian Yearbook of International Law*, vol. XXVII (Vancouver, Canada, University of British Columbia Press, 1989), p. 290.

[11] *Effectiveness of the International Drug Control Treaties* ..., para. 105.

[12] Ibid., para. 65.

[13] *Report of the International Narcotics Control Board for 1995* (United Nations publication, Sales No. E.96.XI.1), paras. 35-36.

[14] *Effectiveness of the International Drug Control Treaties* ..., para. 19.

[15] Ibid., para. 20.

[16] General Assembly resolution 44/25, annex.

[17] *Official Records of the Economic and Social Council, 1991, Supplement No. 4* and corrigendum (E/1991/24 and Corr.1), para. 26.

[18] Secretary-General's bulletin (ST/SGB/Organization, section UNDCP), sect. 2.3.

[19] United Nations Drug Control Programme, *World Drug Report* (New York, Oxford University Press, 1997), p. 9.

[20] *Official Records of the Economic and Social Council, 1991, Supplement No. 4* ..., chap. XIV.

[21] *Official Records of the General Assembly, Forty-seventh Session, Supplement No. 6* and Corrigendum (A/47/6/Rev.1 and Corr.1), para. 28.7.

[22] *Official Records of the Economic and Social Council, 1996, Supplement No. 7* (E/1996/27), chap. XIV.

[23] *Official Records of the Economic and Social Council, 1996, Supplement No. 7* (E/1996/27), paras. 90 and 92.

[24] First Task Force Meeting, Vienna, 26-28 April 1993.

[25] *Official Records of the Economic and Social Council, 1996, Supplement No. 7* (E/1996/27), para. 33.

[26] Ibid., para. 32.

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Item 4 (e) of the provisional agenda*
Programme questions: evaluation

In-depth evaluation of the United Nations Crime Prevention and Criminal Justice Programme

Note by the Secretary-General

In conformity with paragraph 5 (e) (i) of General Assembly resolution 48/218 B of 29 July 1994, the Secretary-General has the honour to transmit the attached report of the Office of Internal Oversight Services on the in-depth evaluation of the United Nations Crime Prevention and Criminal Justice Programme, dated 27 February 1998. The report has been reviewed by the relevant departments, programmes and agencies; the Secretary-General takes note of the findings in the report and concurs with its recommendations.

* E/AC.51/1998/1

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In-depth evaluation of the United Nations Crime Prevention and Criminal Justice Programme

Report of the Office of Internal Oversight Services

Summary

The present report reviews the achievements and problems of the United Nations Crime Prevention and Criminal Justice Programme in (a) servicing intergovernmental meetings; (b) the development of standards and norms; (c) information and clearing house functions; (d) assistance to Governments; and (e) cooperative arrangements with related activities in other organizations of the United Nations system and the institutes, national focal points and intergovernmental and non-governmental organizations of the United Nations Crime Prevention and Criminal Justice Programme network.

Recommendations are made on strategic management, monitoring of standards and norms, registration of Web site users, training in the use of the United Nations Crime and Justice Information Network and related tools, traditional publications, a public information strategy, executing agency status, fund-raising for operational activities, the contribution of the regional commissions and work with partners in the Network.

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I. Introduction

A. Background

1. Crime prevention has been a concern of the United Nations since its early days. In 1950, the Organization assumed global responsibility in the field by taking over the functions of the International Penal and Penitentiary Commission, an intergovernmental body established in the nineteenth century. The United Nations Crime Prevention and Criminal Justice Programme has been growing since then. More recently, the Programme was reshaped on the basis of the guidelines resulting from both the Ministerial Meeting on the Creation of an Effective United Nations Crime Prevention and Criminal Justice Programme, held in Paris in 1991, which were adopted by the General Assembly in its resolution 46/152 of 18 December 1991, and the Ministerial Conferences on Organized Transnational Crime, held at Naples in 1994, which were adopted by the General Assembly in its resolution 49/159 of 23 December 1994. Numerous subsequent Assembly and Economic and Social Council resolutions have reiterated the Programme's high priority and the importance of providing it with sufficient resources for the full implementation of its mandate (see Assembly resolutions 47/91, 48/103, 49/158, 50/146, 51/63 and 52/90 and Council resolutions 1992/22, 1993/31, 1993/34 and 1994/16). The Programme as it exists today is the culmination of ongoing efforts to improve it in the light of changing conditions in the world.

2. The main characteristics of the Programme, namely, its underlying principles, goals, scope, priorities, structure and management, programme support and funding, were defined in specific terms in paragraph 15 of the annex to General Assembly resolution 46/152, in which it was stated that the Programme should be designed to assist the international community in meeting its pressing needs in the field of crime prevention and criminal justice and to provide countries with timely and practical assistance in dealing with problems of both national and transnational crime. The specific means of action enunciated were (a) research and studies, (b) regular international surveys, (c) exchange and dissemination of information among States, (d) training and upgrading of the skills of criminal justice personnel and (e) technical assistance, including advisory services.

B. Institutional arrangements

3. The main guiding body of the Programme is the Commission on Crime Prevention and Criminal Justice, which is a functional commission of the Economic and Social Council. The Commission consists of the representatives of 40 Member States of the United Nations, elected by the Council on the basis of the principle of equitable geographical distribution. The General Assembly, in paragraph 24 of the annex to its resolution 46/152, provided that each Member State should make every effort to ensure that its delegation includes experts and senior officials with special training and practical experience in crime prevention and criminal justice, preferably with policy responsibility in the field. The functions of the Commission were set out in paragraph 26 of the annex. The Commission has the power to create ad hoc working groups and to appoint special rapporteurs, as it deems necessary. The Commission holds annual sessions at which it reviews the work of the United Nations Crime Prevention and Criminal Justice Programme. In addition, the Commission holds inter-sessional meetings at which delegations, intergovernmental organizations, non-governmental organizations and the media are briefed on topical crime prevention and criminal justice issues, the work of the Commission itself and that of the Centre for International Crime Prevention.

4. The United Nations Congress on the Prevention of Crime and the Treatment of Offenders, held every five years, is the major global forum for the exchange of views among States, intergovernmental organizations, non-governmental organizations and individual experts representing various professions and disciplines, the exchange of experiences in research, law and policy development and the identification of emerging trends and issues in crime prevention and criminal justice. The Congress serves as a consultative body of the Programme; it provides advice and comments to the Commission on selected matters referred to it by the Commission, as well as suggestions regarding possible subjects for the programme of work. The first Congress was held at Geneva in 1955 and the ninth in Cairo in 1995. Preparations for the tenth Congress are under way. At practically all of the Congresses, specific sets of standards and norms have been discussed and approved.

5. The Centre for International Crime Prevention (formerly the Division for Crime Prevention and Criminal Justice) is the Secretariat component of the United Nations Crime Prevention and Criminal Justice Programme. The Centre is relatively small, with resources from the regular budget of the United Nations ($5.1 million for the biennium 1996-1997 and $5.5 million for 1998-1999) and from extrabudgetary funds ($1.5 million for the biennium 1996-1997 and $1.6 million for 1998-1999). In addition, under the regular programme of technical cooperation, the appropriation to the Programme was $938,300 for the

biennium 1996-1997, or 5 per cent of the resources budgeted under that programme.

6. The United Nations Interregional Crime and Justice Research Institute (UNICRI) (formerly the United Nations Research Institute for Social Development) is the United Nations entity that, under the guidance of the Commission on Crime Prevention and Criminal Justice, contributes, through research, training and the exchange of information, to the formulation and implementation of improved policies in the field of crime prevention and criminal justice. UNICRI is governed by a Board of Trustees, appointed by the Secretary-General, which reports to the Economic and Social Council through the Commission. The Institute is relatively small and is funded entirely by voluntary contributions to the United Nations Crime Prevention and Criminal Justice Fund, whose balance as at 31 December 1997 amounted to $4.9 million.

7. There are related activities in other United Nations programmes. Those programmes, referred to in the medium-term plan for the period 1992-1997,[1] include international drug control, peacekeeping operations, environment, promotion and protection of human rights, international law, statistics and advancement of women. There is also a logical connection between crime prevention and criminal justice issues and those of socio-economic development, seen from both global and regional perspectives. Organizations of the United Nations system are also involved in related activities. The World Bank deals with questions of governance and corruption. The United Nations Development Programme (UNDP) deals with operational activities, which encompass the general functioning of civil society.

8. The other components of the Programme consist of affiliated and associated institutes, national focal points and intergovernmental and non-governmental organizations working actively on international, regional and national aspects of crime prevention and criminal justice, with activities encompassing research, training, technical assistance and dissemination of information. Together with UNICRI, those institutes form the United Nations Crime Prevention and Criminal Justice Programme network.

C. Mandate and methodology of the evaluation

9. At its thirty-sixth session, the Committee for Programme and Coordination, *inter alia*, recommended to the General Assembly that the United Nations Crime Prevention and Criminal Justice Programme be the subject of an in-depth evaluation and that the report thereon be submitted to the Committee at its thirty-eighth session, in 1998.[2] In 1997, in a report to the Committee at its thirty-seventh session, the Office of Internal Oversight Services stated the following: "An inspection by the Office of Internal Oversight Services combined with a management audit of the Crime Prevention and Criminal Justice Division will be conducted in 1997. The Committee for Programme and Coordination may wish to consider replacing the evaluation of the Crime Prevention and Criminal Justice Programme with that of another programme" (E/AC.51/1997/4, para. 6). The Committee, however, decided to retain the recommendation it had made at its thirty-sixth session. The Central Evaluation Unit of the Office of Internal Oversight Services has conducted the in-depth evaluation as requested. It has taken the work of the Central Monitoring and Inspection Unit into account and has tried not to duplicate it. The report of the Office of Internal Oversight Services on the review of programme management in the Crime Prevention and Criminal Justice Division (now the Centre for International Crime Prevention) has been submitted to the General Assembly (A/52/777).

10. The in-depth evaluation followed standard procedures used by the Central Evaluation Unit, which in essence involves taking stock of available information, including assessments, seeking the views of the main stakeholders of the Programme (representatives of Member States, staff members of the Centre for International Crime Prevention and staff of the other components of the United Nations Crime Prevention and Criminal Justice Programme network: intergovernmental organizations, non-governmental organizations, United Nations entities contributing directly to the Programme and affiliated or associated institutes) on factors that have a bearing on the efficiency and effectiveness of the Programme.

11. A systematic review of the documentation of the Commission on Crime Prevention and Criminal Justice, the Economic and Social Council and the General Assembly was undertaken with a view to identifying programmatic concerns that have been identified by delegations and on which there appears to be general agreement. The review of the documentation was supplemented by structured interviews. Delegations attending the inter-sessional meeting of the Commission, which was held at Vienna in October 1997, were briefed on the objectives of the in-depth evaluation and were invited by the Chairman of the Commission to submit written comments on areas of concern to them to the Central Evaluation Unit of the Office of Internal Oversight Services. In addition, the meeting of members of the Bureau of the Commission reviewing

preparations for the work of the Commission at its inter-sessional meeting was used as a focus group to explore various issues.

12. The views of the staff members of the Centre for International Crime Prevention were obtained through a survey questionnaire; the survey was complemented by selected structured interviews. United Nations entities with related activities, institutes and intergovernmental and non-governmental organizations that interact actively with the Programme were invited to provide written observations to the Central Evaluation Unit.

13. A survey of the professional literature was undertaken through searches on the Internet, the Social Science Citation Index and a survey of scholars. A survey of information in the NEXIS database was undertaken to assess the degree to which the activities of the Programme were being covered by the media. Additional information was obtained through an analysis of statistics related to production, distribution and sale of publications; a review of evaluation questionnaires filled out by trainees was also carried out.

II. Substantive activities of the Centre for International Crime Prevention

A. Servicing of intergovernmental meetings

14. The General Assembly, in paragraph 21 of the annex to its resolution 46/152, enunciated specific criteria to be used in determining programme priorities and, in paragraph 22, stated that the Commission on Crime Prevention and Criminal Justice should not be bound by mandates conferred prior to its formation, but should assess them on their merits by applying the principles mentioned in paragraph 21.

15. In the report of the Secretary-General on the strategic management of the United Nations Crime Prevention and Criminal Justice Programme (E/CN.15/1996/22), it was noted that the heavy reporting requirements involved in servicing the Commission competed with the implementation of other mandates and operational activities. Thus, one of the issues identified for careful analysis was the need to achieve a better balance between parliamentary services and the implementation of other mandates, including support to operational activities (para. 57). The Commission had agreed to exercise restraint in recommending new mandates in order to enable the implementation of existing ones to be completed (para. 92 (e)).

16. The focus group of delegations stated that the Commission was undertaking a significant effort aimed at streamlining its work, reducing its reporting requirements and staggering its consideration of agenda items. Some delegations were of the view that an attempt should be made by the Commission to set priority areas requiring attention rather than expecting the Programme to deal with the enormous range of subject areas identified over the years. The priority areas should be consistent with the resources expected to be available; it should not be expected that resources would be available for all subject areas dealt with by the Commission over the years.

B. Development and promotion of standards and norms

17. Since its establishment, the Programme has developed a large number of standards, norms, model treaties and guidelines. These represent internationally agreed-upon principles of desirable practice, on the basis of which Governments can assess their own systems and develop national legislation to promote the rule of law; the principles also serve as a basis for bilateral and multilateral cooperation to combat national and transnational forms of crime. This achievement of the Programme under its normative role is the basis of the recent shift in emphasis from standard setting to a concentration securing a more systematic application of existing standards and norms through monitoring and technical assistance. An evaluation by a group of experts in the context of the Meeting of Experts for the Evaluation of Implementation of United Nations Norms and Guidelines in Crime Prevention and Criminal Justice (E/CN.15/1992/4/Add.4) recognized that, while the implementation of United Nations standards and norms was the responsibility of Governments, there was a collective responsibility of the international community to ensure that United Nations standards and norms, once adopted, were implemented.

18. As mandated by the Economic and Social Council and the General Assembly, the Centre for International Crime Prevention conducts periodic surveys to find the extent of application of the following sets of standards: (a) Standard Minimum Rules for the Treatment of Prisoners; (b) Code of Conduct for Law Enforcement Officials, including the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials; (c) Declaration of Basic Principles of Justice for Victims of Crime and Abuse of Power; and (d) Basic Principles on the Independence of the Judiciary. The results of the surveys are conveyed to the Commission, the Economic and Social Council and the General Assembly. The response from Member States has varied over time, with

the trend pointing to an increase in the number of countries responding to the first three sets of principles and a decrease for the fourth set of principles. In completing the questionnaires, countries identify achievements and shortcomings in various areas. One of the aims of the United Nations in monitoring the use and application of standards in the field of crime prevention and criminal justice is to assist States in overcoming obstacles that might exist in implementation.

19. The following is a list of other sets of principles that are periodically surveyed by the Centre: United Nations Standard Minimum Rules for the Administration of Juvenile Justice (The Beijing Rules); United Nations Guidelines for the Prevention of Juvenile Delinquency (The Riyadh Rules); United Nations Rules for the Protection of Juveniles Deprived of their Liberty; United Nations Standard Minimum Rules for Non-custodial Measures (The Tokyo Rules); and Principles on the Effective Prevention and Investigation of Extra-legal, Arbitrary and Summary Executions. The following model treaties are not monitored: Model Agreement on the Transfer of Foreign Prisoners; Model Treaty on the Transfer of Supervision of Offenders Conditionally Sentenced or Conditionally Released; Model Treaty on Extradition; and Model Treaty on the Transfer of Proceedings in Criminal Matters.

20. Some delegations raised the question of too many demands for information. Furthermore, there is often a lack of response; reports that are produced with significant gaps in information are considered to be of limited value. Several delegations also pointed out that the reports produced by the Centre tended at times to be a mere compilation of the replies received, with limited substantive analysis, making them less useful than they could be. In the face of such heavy reporting requirements, the Commission has stated that attention should be devoted to developing more efficient ways and means of promoting and monitoring the use of United Nations standards and norms in the field of crime prevention and criminal justice.

C. Information and dissemination functions

1. Clearing house function

21. The United Nations On-line Crime and Justice Clearing House (UNOJUST) was developed by the National Institute of Justice, one of the institutes associated with the United Nations Crime Prevention and Criminal Justice Programme. UNOJUST is an Internet-based vehicle that provides information about the activities of the affiliated and associated institutes of the Programme, including the results of their research. It is thus possible for the institutes to share information among themselves and to pool together information about their activities and share such information with the broad group of users covered by the Internet that are interested in crime prevention and criminal justice matters. The UNOJUST programme includes initial technical support and training so that designated representatives of the institutes can serve as Internet information managers for their respective organizations beyond the start-up period.

2. Information dissemination function

22. The United Nations Crime and Justice Information Network (UNCJIN) was created in response to Economic and Social Council resolution 1986/11 of 21 May 1986. In that resolution, the Council, *inter alia*, invited the Secretary-General to make all efforts to establish a global crime and criminal justice information network, with the then Crime Prevention and Criminal Justice Branch of the Secretariat as its focal point in cooperation with the affiliated institutes and other entities concerned, with a mechanism for gathering inputs from non-governmental organizations and scientific institutions. UNCJIN was established in 1988 and now provides Internet access to crime prevention and criminal justice information generated by research, surveys, standards and norms and training and operational activities of the Centre for International Crime Prevention.

23. Delegations agree that UNCJIN serves a useful purpose in disseminating criminal justice information on a wide basis. Delegations from developing countries were apprehensive that developing countries might not be benefiting from UNCJIN as much as possible and requested that consideration be given to using United Nations offices in the developing countries where there was such need as a gateway to UNCJIN, with appropriate briefing and training of local officials dealing with crime prevention and criminal justice matters.

24. Discussion with the staff members responsible for UNCJIN showed that UNCJIN did not have information on its users and the use they made of the Network and that there was no formal mechanism for securing feedback of users. A registration procedure would make it possible to generate information about the number of users, the region they were from, the most used features of the site, sections downloaded and high and low points of usage during the week. Such information would be available both for management and oversight purposes on an ongoing basis. At the request of the evaluation team, the Centre undertook an effort to extract basic information from the general user statistics files of the University of Vienna, host of the UNCJIN site. The results

show that UNCJIN is being accessed by an impressive number of users; during the period January to November 1997, there were 133,225 "hits" concentrating on the home page, the crime statistics page and the country information and profiles page.

3. Hard-copy publications

25. The Centre for International Crime Prevention produces and distributes a variety of publications. Delegations stated that traditional publications continue to have their importance despite the fact that publications are increasingly being made available in electronic form on UNCJIN. Staff members of the Centre agreed that a readership survey undertaken periodically for each publication could help to enhance the relevance and usefulness of the Centre's publications.

26. Structured interviews and on-site analyses of records show that in addition to the distribution of reports and publications through the usual channels, the Centre responds well to ad hoc requests for reports and publications coming from all parts of the world. The main clients are from training institutions.

4. Presence of the Programme in the professional literature

27. Analysis of the criminal justice abstracts and a database maintained by the Dag Hammarskjöld Library provided evidence of the presence of the work of the United Nations Crime Prevention and Criminal Justice Programme in the professional literature on the subject. However, the Centre does not have a procedure in place whereby it could ensure that its publications and those of its partners are reviewed systematically by less specialized professional journals in the social sciences. Such a procedure could enhance the visibility, credibility and use of the work of the Programme.

Table 1
Presence of selected United Nations programmes in the social science professional literature

	Articles in the Dag Hammarskjöld Library CATFILE database, 1980-1997		
	Total number on topic	*Of which number with references to United Nations programme*	*Percentage*
Crime prevention	186	4	2.2
Human rights	4 156	563	13.5
Drug control	253	20	7.9

5. Coverage of the Programme in the media

28. Coverage of the work of the Programme in the media is not as extensive as is that of comparable United Nations programmes.

Table 2
Coverage of selected United Nations programmes in wire services stories

	Percentage of wire service stories with the key phrase and at least one reference to the United Nations	
Key phrase	*1996*	*1997*
Crime prevention	8.3	14.0
Human rights	17.6	20.3
Drug control	25.3	35.0

Source: NEXIS database.

29. The Centre does not have a public information strategy; such a strategy could help make the achievements of the Programme more visible, and perhaps help to attract additional funding.

D. Assistance to Governments

30. Technical assistance is provided by the Centre through both the regular programme of technical assistance and voluntary contributions from a variety of sources. The United Nations Crime Prevention and Criminal Justice Fund was established in 1967, pursuant to Economic and Social Council resolution 1086 of 30 July 1965. It is included in the annual United Nations pledging conference for development activities in line with General Assembly decision 34/440 of 17 December 1979. Donations to the Fund are made either as a general contribution to serve overall assistance needs or as earmarked funds for specific projects or programme activities. The Fund has remained at approximately $1 million for the past three bienniums.

31. Operational activities undertaken by the Centre have been largely for training. In the report of the Secretary-General on the subject, it is noted that a recurrent motif is the need for training, and requests for different kinds and levels of training have been multiplying. Intensified and more widespread efforts are urgently required to build the cadres needed to upgrade national and local capacities, and to impart a broader perspective necessary for dealing with new transnational crime forms and ramifications, including jurisdictional issues and reciprocal arrangements (A/50/432,

para. 30). The degree to which the Programme can respond to the needs of Member States will depend largely on the operational capacity of the Programme to render the necessary aid. Some steps in this direction have been taken, but much more is clearly required if the chasm between the needs in this field and the international response is, if not bridged, then at least reduced (A/50/432, para. 22, referred to in A/51/327, para. 80). To address this problem, the Commission, in its resolution 5/2 on technical cooperation and interregional advisory services in crime prevention and criminal justice, requested the Secretary-General to "explore with Member States the establishment of a mechanism for resource mobilization and coordination of activities in the area of technical assistance".[3] The Commission, in its resolution 5/3 on strategic management by the Commission of the United Nations Crime Prevention and Criminal Justice Programme, decided to "exercise more vigorously its mandated functions of resource mobilization and, for this purpose, to establish an informal consultative group".[3]

32. Some delegations were of the view that the Centre tried to embrace too many areas and thus spread too thin its very limited resources. They stated that setting priorities might be an answer until there was an increase in the volume of resources and a strengthening of the operational capacity of the Centre. Some delegations were of the view that the Centre could do more in joint ventures with other partners (intergovernmental organizations, non-governmental organizations and other United Nations entities).

33. There is a need for the Centre to engage in a more active dialogue with donors to address their apprehensions, which are causing "the continued resistance of aid agencies and potential donor countries to funding activities in criminal justice" (A/51/327, para. 61). Some delegations stated that they could not fund projects that were controversial in nature and against the policies of their Governments.

34. Some delegations observed that the training activities of the Centre were too widespread and not sufficiently focused to make a difference. The Centre has made limited use of the training of trainers strategy, while recognizing its potential.

35. Delegations pointed out that there were several non-governmental organizations that were active in operational activities concerning crime prevention and criminal justice and expressed the wish that the Centre would reach out to those non-governmental organizations and try to work in cooperation with them. In that respect, the representative of a non-governmental organization commented to the evaluation team that there was considerable scope for the more coherent organization of non-governmental organizations in technical assistance programmes. The representative noted that United Nations resources might be under more and more pressure, but a partnership approach was already paying dividends and should be extended.

36. The Centre routinely requests participants in its various training activities to fill out a questionnaire at the end of the training event. The Centre has not analysed the completed evaluation questionnaires and thus is not utilizing the results of those evaluations to improve its subsequent training activities. An analysis by the Central Evaluation Unit of a sample of questionnaire responses shows that the training activities were considered useful and that some problems were experienced with their administrative and logistical aspects. The Centre has not routinely undertaken follow-up evaluations to determine the impact of the training on national systems of crime prevention and criminal justice.

37. A survey of staff members of the Centre in the Professional category shows that they spend a substantial amount of time dealing with administrative matters relating to operational activities. From a follow-up discussion, it would appear that the administrative support being provided by the United Nations Office at Vienna often falls short of the requirements of the Centre, leaving the staff members of the Centre with no choice but to become involved in ensuring that proper administrative arrangements were being made to support the Centre's activities, in particular training activities being carried out in the field.

E. Coordination role of the Centre for International Crime Prevention

38. A survey of staff members of the Centre in the Professional category was undertaken on the catalytic role played by the Centre. The staff members were asked to fill out a questionnaire listing the main services provided by the United Nations Crime Prevention and Criminal Justice Programme to Governments and the specific partners involved and to rate the contribution of the partners to the various services. The responses indicate that some partners were contributing more than others and that the potential contribution of the partners was not being fully tapped. There was no uniform way of dealing with the partners. In general, staff members from the Centre agreed that the partners could play a more important role in technical assistance projects and training provided to Governments. The following additional pertinent observations were made:

(a) Each partner's role should be defined from the planning stage;

(b) The institutes should be encouraged to gear their work towards more substantial contributions to the implementation of the Centre's mandates;

(c) There should be more joint projects and publications;

(d) Although coordination and cooperation have been enhanced in the past few years, much still needs to be done to develop a comprehensive network of systematic relationships; the aim should not be restricted to coordination, but should extend to establishing effective partnerships.

III. Substantive activities of the United Nations Interregional Crime and Justice Research Institute

39. UNICRI conducts research activities geared towards analysis of policy options and experiences thereof in an international comparative perspective. It places special emphasis on transnational organized crime, promotion of comparative international criminal justice databases/information systems and strengthening of international and national analytical research and monitoring capacities on structures and trends of crime and criminal justice. At the request of Member States, the results of the Institute's research are used as the basis for designing and testing model training and technical cooperation activities at the international, regional, subregional and national levels. UNICRI has convened several international conferences, seminars and workshops related to its major research projects. It has also organized research workshops and panels within the framework of the United Nations Congresses on the Prevention of Crime and the Treatment of Offenders, as well as of the congresses of major international professional associations. UNICRI organizes the annual coordination meetings of the United Nations Crime Prevention and Criminal Justice Programme network. In many of the above-mentioned activities, UNICRI cooperates closely with other organizations of the United Nations system (the regional commissions, the United Nations International Drug Control Programme, the Office of the United Nations High Commissioner for Human Rights, the United Nations Children's Fund (UNICEF), the United Nations Development Programme (UNDP), the International Labour Organization (ILO), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the World Health Organization (WHO)), as well as with other international and regional organizations. UNICRI provides documentation and information services through both traditional means and advanced telecommunication technology. The Institute's library collection, a unique feature of the United Nations Crime Prevention and Criminal Justice Programme, includes specialized literature, statistical data and international and national documents, as well as approximately 400 specialized periodicals from over 100 countries. Its catalogue (updated on a weekly basis) can be consulted on-line at the UNICRI Web site. UNICRI also plays a central role in UNOJUST in administering the funds donated by Member States for its development and in providing the relevant technical support to the members of the Programme network. In addition, the Institute's Web master contributes to the implementation of UNOJUST activities through technical assistance in Internet capacity-building and Internet-related documentation systems for UNOJUST members through the development of training programmes and materials, as well as of appropriate formats and software. UNICRI regularly publishes (directly or, in a few cases, through commercial publishers) monographs as well as a series of executive summaries related to its projects. To date, UNICRI has published 71 monographs. These publications are distributed free to selected institutions in the developing countries and sold through the United Nations sales services and commercial networks. Electronic versions of all the issues of the more recent series, as well as a few selected monographs, are also available on-line at the UNICRI Web site. UNICRI has also published articles and reports in leading international and national research journals. The Institute's publications are available in major national and university libraries throughout the world. Regular reports on the activities of UNICRI are published by a few specialized international research journals and most of its publications have been reviewed in international journals. The *International Organizations* volume of the *International Encyclopedia of Law* contains a chapter devoted to UNICRI.

IV. Cooperation with related activities in other organizations

A. Programmes of the United Nations

1. United Nations International Drug Control Programme

40. Until the adoption of the reform proposals of the Secretary-General by the General Assembly, the United Nations International Drug Control Programme operated separately from the United Nations Crime Prevention and Criminal Justice Programme, but reported to a common head. Under the reform proposals of the Secretary-General (A/51/950, paras. 143-145), endorsed by the Assembly, the two Programmes would be grouped under one common umbrella and cooperation between them facilitated. Delegations interviewed at Vienna by the Central Evaluation Unit indicated that they would prefer that the two Programmes maintain their distinct identity while cooperating more closely.

2. Human rights

41. The Office of the United Nations High Commissioner for Human Rights regularly furnishes the Centre for International Crime Prevention with reports of the Secretary-General, thematic working groups and special rapporteurs on issues relating to enforced or involuntary disappearances, extra-legal, arbitrary and summary executions, the independence of the judiciary, the right to a fair trial, the role of law in the protection of the environment, violence against women and children, and illegal trafficking, as well as on standard-setting activities. Those reports and other contributions by the Office have been used in the preparation of reports and notes by the Centre submitted for consideration by the Commission on Crime Prevention and Criminal Justice. The technical cooperation arm of the Office has cooperated with the Centre in carrying out operational activities in areas of joint interest, such as human rights in the administration of justice and human rights and law enforcement, ranging from needs assessment missions to the conduct of training activities. Staff in both the Office and the Centre stated that closer cooperation could be possible. It should be noted that the Human Rights Committee considers country reports that include sections on the promotion and protection of human rights in the administration of justice.

3. Regional commissions

42. The United Nations Crime Prevention and Criminal Justice Programme also includes a regional adviser for Asia and the Pacific based at the Economic and Social Commission for Asia and the Pacific (ESCAP), whose post is funded by extrabudgetary resources. Significant substantive contributions are being made under this arrangement. It is noted that in the $30 million allocated to the regional commissions under the regular programme of technical cooperation, there is no provision for work on crime prevention and criminal justice. Attention should also be drawn to the institutional support provided by the Economic Commission for Africa (ECA) to the United Nations African Institute for the Prevention of Crime and the Treatment of Offenders (UNAFRI). Section 16 of the proposed programme budget for the biennium 1998-1999 contains a provision of $204,800 for that purpose.[4] ECA has been closely involved with UNAFRI since the Institute's establishment, in recognition of the importance of the issues dealt with by UNAFRI and the felt need of the African countries.

4. World Bank

43. The World Bank recognizes the strong linkage that exists between development and the rule of law and the importance of effective justice systems. "Within the efforts aimed at promoting good governance, the World Bank has focused considerable attention and activities on judicial reform programmes" (E/CN.15/1997/17, para.13). The area of crime prevention and criminal justice is generally outside the mandate of the Bank and hence the Bank does not make direct contributions to the work of the Centre. Most prominent among the areas of common concern is the area of corruption.

5. United Nations Development Programme

44. Crime prevention falls within the framework of the UNDP governance programme. UNDP is interested in developing its cooperation with the Centre, foreseeing an expansion of UNDP-supported activities in crime prevention. The Centre's work on anti-corruption may also provide scope for cooperation within the framework of the UNDP programme for accountability. Some UNDP country programmes specifically include crime prevention and criminal justice reform and judicial training (A/50/432, para. 26). Over the past year, a significant new partnership has been forged with UNDP through an exchange of letters between the Director-General of the United Nations Office at Vienna and the Administrator of UNDP. An important

measure of the new partnership was the signing of a memorandum of understanding with the UNDP Regional Bureau for Europe and the Commonwealth of Independent States, which provides, *inter alia*, for joint needs assessment missions and joint fund-raising for projects and activities in the area of crime prevention and criminal justice. Pursuant to the memorandum, the Centre will provide technical assistance and advisory services and substantive expertise in crime prevention and criminal justice, in particular in organized crime control, in combating corruption, in the implementation of judicial reform and in the improvement of correctional services (E/CN.15/1997/17, paras. 72 and 73).

B. United Nations Crime Prevention and Criminal Justice Programme network

1. Institutes

45. In its annual report for 1996/97, the International Centre for Criminal Law Reform and Criminal Justice Policy observed that, because the Programme's network of institutes is largely decentralized and includes the contribution of a significant number of organizations acting cooperatively but independently with a shared commitment to the same general objective, it provides perhaps a unique model for concerted and effective action, while allowing diversity and reflecting regional priorities and concerns.

46. The institutes are funded by voluntary contributions from Governments, including their host Governments. The institutes associated or affiliated with the Programme include the following:

(a) United Nations Asia and Far East Institute for the Prevention of Crime and the Treatment of Offenders, Tokyo;

(b) United Nations Latin American Institute for the Prevention of Crime and the Treatment of Offenders, San José, Costa Rica;

(c) European Institute for Crime Prevention and Control affiliated with the United Nations, Helsinki;

(d) United Nations African Institute for the Prevention of Crime and the Treatment of Offenders, Kampala;

(e) Naif Arab Academy for Security Sciences, Riyadh;

(f) Australian Institute of Criminology, Canberra;

(g) International Centre for Criminal Law Reform and Criminal Justice Policy, Vancouver, Canada;

(h) International Institute of Higher Studies in Criminal Sciences, Siracusa, Italy;

(i) National Institute of Justice, Washington, D.C.;

(j) Raoul Wallenberg Institute of Human Rights and Humanitarian Law, Lund, Sweden;

(k) International Scientific and Professional Advisory Council, Milan, Italy;

(l) International Centre for the Prevention of Crime, Montreal, Canada.

47. UNAFRI is the only institute that receives a limited contribution from the regular budget of the United Nations. All of the institutes are operating under financial constraints owing to reduced resource bases and/or an uncertain financial situation. In the case of UNAFRI, although its financial difficulties have always been serious, they have now reached a critical level (E/CN.15/1996/22, para. 34). The programme of UNAFRI is designed to sensitize Member States to the most pressing needs in crime prevention and criminal justice and to identify new strategies to confront transnational crime.

48. The Economic and Social Council, in its resolution 1994/23 of 25 July 1994, annex, section V, called for the periodic review and evaluation of affiliated institutes and centres. One recent assessment concluded that "the Division [Centre] is conscious of the need to be more involved in the planning phase of the work programmes of the institutes if its role as coordinator is to be meaningful and if the institutes' affiliation or association with the United Nations is to be more substantive than formal in nature" (E/CN.15/1996/22, para. 35). The institutes provide the Centre with elements for an annual report on their achievements. In discussion with the Central Evaluation Unit, the Bureau of the Commission on Crime Prevention and Criminal Justice stated that reporting by the institutes was somewhat mechanical.

49. Coordination meetings of the institutes are organized annually and information is shared about one another's activities. However, more could be done to enhance programmatic complementarity. UNICRI recently agreed to serve as the research arm of the Programme. If that works out, some of the Centre's resources currently devoted to research could be shifted to operational activities.

2. National focal points

50. The General Assembly, in its resolution 46/152, established a system of national correspondents as one of the elements of the United Nations Crime Prevention and Criminal Justice Programme network. The national correspondents were expected to facilitate contact with the Secretariat on matters of legal, scientific and technical cooperation, training, information on national laws and regulations, legal policy, the organization of the criminal justice system, crime prevention measures and penitentiary matters. In a recent assessment, the Commission found that "the performance and contribution of the national correspondents vary and are limited by a lack of seed money to facilitate their activities, which they carry out on a voluntary basis. Proposals for holding regular meetings of the correspondents have been rejected for lack of means. As a result of the restructuring of the programme and the concomitant greater direct involvement of Governments in its direction, the status of the national correspondents has changed" (E/CN.15/1996/22, para. 45). The Commission decided to abolish the system of national correspondents and to institute a new system consisting of government focal points in each Member State.

3. Intergovernmental organizations

51. The following intergovernmental organizations cooperate actively with the United Nations Crime Prevention and Criminal Justice Programme: Agency for Francophonie, Commonwealth Secretariat, Council of Europe, Customs Cooperation Council (World Customs Organization), European Police Organization, European Union, International Criminal Police Organization, Financial Action Task Force, Organization of African Unity and Organization of American States. Those organizations generally attend the meetings of the Commission and the Congresses. Several within the framework of the United Nations Crime Prevention and Criminal Justice Programme network and with the Centre and affiliated institutes as well.

4. Non-governmental organizations

52. A large number of non-governmental organizations attend the meetings of the Commission. The most important contribution to the Programme comes from the Alliance of Non-Governmental Organizations on Crime Prevention and Criminal Justice and its members. The Alliance was formed in 1972. It is a coalition of international non-governmental organizations that have consultative status with the Economic and Social Council. Its members include the following: Academy of Criminal Justice Sciences, Amnesty International, Howard League for Penal Reform, International Association of Chiefs of Police, International Association of Judges, International Association of Juvenile and Family Court Magistrates, International Association of Penal Law, International Community Corrections Association, International Commission of Jurists, International Council on Alcohol and Addictions, International Narcotic Enforcement Officers Association, International Prisoners Aid Association, International Society for Crime Prevention, International Society for Criminology, International Society of Social Defence, Junior Chamber International, Prison Fellowship International, Salvation Army, Third World Movement against the Exploitation of Women, World Federation for Mental Health and World Psychiatric Association.

53. The Alliance also has several observer members. The Alliance has two branches, one in New York and the other in Vienna. The objectives of the Alliance are to facilitate planning for international policy in crime prevention and criminal justice by providing an institutionalized two-way conduit of information and consultation between the Secretariat and the international non-governmental organization community, to assist the United Nations in the identification of issues, provision of research studies, recommendations for action and technical assistance in specific areas of interest to the Alliance, and to strengthen the collective services of the Alliance through the exchange of information and cooperation among member organizations regarding programmes, research projects, publications and other matters of mutual interest.

54. The Alliance has contributed to some of the landmark achievements of the Programme: *inter alia*, it conceived and implemented an international research project on children in prison with their mothers; it contributed to the elaboration of the recommendations on the treatment of foreign prisoners and it assisted in drafting guidelines for alternatives to prison, in preparation for the eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders. The Alliance has set up an information centre that both coordinates the surveys developed by individual working parties and responds to requests for assistance and/or information from individuals and countries around the world.

55. Important substantive contributions are made by the International Scientific and Professional Advisory Council, which serves as a focal point for input to the Programme from non-governmental organizations and academic and professional institutions active in the field. About 60 per cent of the United Nations Crime Prevention and Criminal Justice Fund is provided by the Government of Italy and, pursuant to a standing arrangement with the Government, 50 per cent

of its annual contribution is used to support the activities of the Council.

V. Conclusions and recommendations

56. *Resources*. Limited staff resources are overextended in an attempt to respond to the demands of the intergovernmental bodies and the needs of Governments for technical assistance. Attention has been drawn to the fact that the resources devoted to the Programme, both from regular and extrabudgetary sources, are not commensurate with the mandates entrusted to the Centre.

57. *Commission on Crime Prevention and Criminal Justice*. The Commission is one of the few United Nations intergovernmental bodies exercising strategic management, including inter-sessional supervision, over a programme. The Commission is aware of the problem of multiplicity of mandates and is working on streamlining mandates and establishing priorities in order to bring about a more realistic relationship between mandates and available resources. The Commission is also aware of the need to strengthen its role in resource mobilization and has started to address that issue.

58. *Servicing of legislative bodies*. Substantive servicing is making a heavy demand on the limited resources of the Centre. Such servicing includes regular briefings of missions and inter-sessional briefings to assess strategic management by the Commission.

59. *Congresses*. The Congresses have been useful as a forum for the interchange of ideas benefiting all countries. A substantial number of recommendations have been formulated over the years but, while follow-up has taken place, the extent of implementation has been inadequate.

> *Recommendation 1, Strategic management*. To facilitate the strategic management of the Programme, the Centre should develop proposals on the manner in which the implementation of existing and additional mandates are to be integrated into the Programme and present them to the Commission at its eighth session, in 1999.

60. *Use and application of standards and norms*. Intergovernmental bodies have made it clear that standard-setting should continue but should be more limited. There is no adequate system for monitoring the use and application of existing standards and norms. While some representatives of Member States consider that there are too many demands for information, there is a poor response to monitoring requests and, as a result, some of the reports produced are not as comprehensive or analytical as they could be. A streamlining of reporting requirements would seem to be needed.

> *Recommendation 2, Monitoring of standards and norms*. The Centre should present to the Commission at its eighth session proposals to improve the monitoring of the use and application by Member States of the United Nations standards and norms in crime prevention and criminal justice.

61. *United Nations On-line Crime and Justice Clearinghouse*. Significant efforts have been made to develop UNOJUST as a service to affiliated and associated institutes and thus assist them in undertaking their functions.

62. *United Nations Crime and Justice Information Network*. UNCJIN is now a fully developed electronic instrument for the dissemination of a comprehensive range of information on crime prevention and criminal justice and is widely used. Efforts could now be made to refine some of the features of UNCJIN to meet the specific needs of its users. Also, a built-in feedback system could help UNCJIN to continue to improve itself. Developing countries face obstacles in their use of UNCJIN because of the lack of training of crime prevention and criminal justice personnel in using electronic tools such as UNCJIN. Many of them also lack the necessary hardware and software.

> *Recommendation 3, Registration of Web site users*. A registration procedure should be introduced by 30 September 1998 for all Centre Web sites. The procedure should permit the Centre to obtain information on the affiliation of users, the geographic region from which the inquiry is coming, the nature of their interests and the information accessed. The information on users and their interests obtained in this way should be analysed every six months and discussed by senior management.

> *Recommendation 4, Training in the use of UNCJIN and related tools*. The Centre should develop a training package for trainers from developing countries to facilitate the use by such countries of UNCJIN and UNOJUST and other electronic databases on crime prevention and criminal justice.

63. *Usefulness of traditional publications*. Traditional publications continue to have their importance despite the fact that publications are increasingly being made available in electronic format on UNCJIN.

64. *Distribution of publications*. In addition to distribution through the usual channels, the Centre responds well to ad hoc requests for publications by other programmes and organizations.

65. *The Programme in the professional literature*. The reports and studies undertaken in the context of the Programme are reflected in the professional literature on crime prevention and criminal justice which also deals with the multifaceted aspects of the Programme.

66. *The Programme in the media*. The work of the Commission receives media attention. Coverage of the various activities of the Centre has not received sufficient attention. A public information strategy is needed to help make the Programme more visible and enhance support.

> *Recommendation 5, Review of traditional publications*. An analysis of sales data, a focus group discussion among representatives of major user groups and, if possible, a readership survey should be conduced to assess the continuing usefulness of all hard-copy publications of the Centre.

> *Recommendation 6, Public information strategy*. The Centre, with the cooperation of the Department of Public Information should elaborate a public information strategy, with a view to making the Programme more visible in the media.

67. *Operational activities*. Since 1992, there has been a major shift in the emphasis of the Programme from a normative role, to an operational role, as requested by Member States. Demands coming from developed countries, developing countries and countries in transition continue to increase and the Centre is not always able to respond fully to the various demands. The expectations of Governments concerning operational activities are thus not being fully met. Cooperation with UNDP has been expanding but needs to be based on a stronger partnership, utilizing both the substantive and the operational capacity of the Programme. It has been found difficult to develop a strategy and priority setting for operational activities. Central support servicing by the United Nations Office at Vienna is not as responsive as is needed and an undue proportion of the time of the staff of the Centre has to be devoted to support matters.

> *Recommendation 7, Executing agency status*. The Centre should seek executing agency status with UNDP so that Member States can include projects in crime prevention and criminal justice in their country programmes. Once the Centre has such status, appropriate information should be provided to Member States and development agencies on the contribution that operational activities in crime prevention and criminal justice make to development.

68. *Training*. Evaluation undertaken at the end of training projects shows that such activities are considered useful. Since training is driven by requests received from Governments and by the priorities of donors, it has been found difficult to develop a coherent strategy and priority setting in training. The limited efforts made to use the training of trainers approach have been successful.

> *Recommendation 8, Training*. (a) The Centre should concentrate its training activities on two categories of persons: policy makers likely to bring about policy changes in their countries, and trainers likely to generate a multiplier effect to the training provided. (b) Attempts should be made to conduct follow-up evaluations six months to a year after the training activities have been completed to assess the impact of such training on improving national crime prevention and criminal justice systems.

69. *Fund-raising*. To date, there is no fund-raising strategy for operational activities.

> *Recommendation 9, Fund-raising for operational activities*. The Centre should develop proposals for a fund-raising strategy and present them to the Commission at its eighth session.

70. *Synergy between the United Nations Interregional Crime and Justice Research Institute and the Centre*. Efforts are under way to improve the synergy between UNICRI and the Centre, taking into account the comparative advantages of each.

71. *Synergy between the United Nations Crime Prevention and Criminal Justice Programme and the United Nations International Drug Control Programme*. Efforts have been made and are continuing to be made to improve the synergy between the two Programmes. Bringing the two Programmes under one central management system should also contribute to enhancing cooperation. Delegations prefer that the two Programmes maintain their distinct nature, while working more closely together.

72. *Cooperation with other United Nations entities, including the regional commissions*. Collaboration with the Office of the United Nations High Commissioner for Human Rights could be expanded, particularly with respect to monitoring the use and application of crime prevention and criminal justice standards and norms, elaboration of training tools and technical cooperation activities. As the experience of ESCAP has shown, the regional commissions can provide certain types of services to their membership if extrabudgetary resources are available for that purpose. Despite the inherent uncertainty of such contributions, extrabudgetary resources alone have sustained the work of ESCAP in the field of crime prevention and criminal justice.

Recommendation 10, Regional commissions. The Centre should explore the possibility of cooperation with the regional commissions on the basis of the limited but successful experience so far.

73. *Working with partners*. The United Nations Crime Prevention and Criminal Justice Programme exercises substantial leverage through the Programme network. Coordination consists of sharing information on the activities undertaken by each of the partners.

Recommendation 11, Information sharing with partners. Information sharing is now mostly *ex post* but should be *ex ante* as well to make it possible for partners to undertake joint ventures, where appropriate.

74. *Cooperation with affiliated and associated institutes*. The affiliated and associated institutes make considerable contributions to the Programme, individually and as a network. Nonetheless, the potential for more joint ventures has not been fully explored.

Recommendation 12, Institutes. The Centre should consult with affiliated and associated institutes in order to generate proposals to enhance partnerships, develop complementarities and strengthen the coordination role of the Centre.

75. *National focal points*. The system of voluntary national correspondents did not work as expected and has recently been replaced by a system of focal points in Governments.

Recommendation 13, Focal points. The Centre should present to the Commission at its eighth session proposals on how Governments can best utilize the new mechanism of focal points.

76. *Cooperation with intergovernmental organizations*. Several intergovernmental organizations are active in the area of crime prevention and criminal justice. Collaboration of the Centre with such organizations could be intensified, particularly in joint ventures for operational activities.

Recommendation 14, Intergovernmental organizations. The Centre should consult with intergovernmental organizations active in the area of crime prevention and criminal justice in order to develop proposals for closer cooperation, particularly in operational activities.

77. *Cooperation with non-governmental organizations*. Cooperation with non-governmental organizations has been extensive. However, opportunities for joint ventures with such organizations for operational activities and for fund-raising have not been explored as systematically as possible. Some non-governmental organizations that attend the meetings of the Commission and other related intergovernmental bodies have stated that they are not provided with adequate support services.

Recommendation 15, Non-governmental organizations. The Centre should consult with non-governmental organizations active in the area of crime prevention and criminal justice, including the International Scientific and Professional Advisory Council, in order to clarify the roles that non-governmental organizations could play in the implementation of the Programme and agree on a division of labour, thus leading to a greater involvement of non-governmental organizations in the Programme.

Recommendation 16, Priorities and the needs of client groups. The Centre should identify the needs of its client groups and derive from this analysis a strategy for setting priorities and reconciling different needs.

Recommendation 17, Submission of the report to the Commission. The present report, together with the conclusions and recommendations of the Committee for Programme and Coordination thereon, should be submitted to the Commission on Crime Prevention and Criminal Justice, at its eighth session, for consideration and action.

(*Signed*) Karl Th. **Paschke**
Under-Secretary-General
for Internal Oversight Services

Notes

[1] See *Official Records of the General Assembly, Forty-fifth Session, Supplement No. 6* (A/45/6/Rev.1).

[2] Ibid., *Fifty-first Session, Supplement No. 16* (A/51/16), part I, para. 55.

[3] See *Official Records of the Economic and Social Council, 1996, Supplement No. 10* (E/1996/30), chap. I, sect. D.

[4] *Official Records of the General Assembly, Fifty-second Session, Supplement No. 6* (A/52/6/Rev.1 and Add.1), para. 16A.39.

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Item 4 (e) of the provisional agenda*
Programme questions: evaluation

Triennial review of the implementation of the recommendations made by the Committee for Programme and Coordination at its thirty-fifth session on the evaluation of peacekeeping operations: start-up phase

Note by the Secretary-General

In conformity with paragraph 5 (e) (i) of General Assembly resolution 48/218 B of 29 July 1994, the Secretary-General has the honour to transmit the attached report of the Office of Internal Oversight Services entitled "Triennial review of the implementation of the recommendations made by the Committee for Programme and Coordination at its thirty-fifth session on the evaluation of peacekeeping operations: start-up phase", dated 13 March 1998. The report has been reviewed by the relevant departments and offices; the Secretary-General takes note of the findings in the report and concurs with its recommendations.

* E/AC.51/1998/1

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Triennial review of the implementation of the recommendations made by the Committee for Programme and Coordination at its thirty-fifth session on the evaluation of peacekeeping operations: start-up phase

Report of the Office of Internal Oversight Services

Summary

The present report is submitted in accordance with the decision taken by the Committee for Programme and Coordination at its twenty-second session to review the implementation of its recommendations three years after taking decisions on an in-depth evaluation.

The Department of Peacekeeping Operations has made a concerted effort to follow through on the recommendations of the Committee. Significant progress is reported in connection with the development of a capacity to derive lessons from experience and of a ready capacity to act for the civilian police, information, planning, procurement and training functions. Recommendations are made on the Department's Resource Centre; translating the lessons of experience into practice; the designation of responsibility centres; and certain aspects of the information, military and financial functions.

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I. Introduction

1. The Committee for Programme and Coordination, at its thirty-third session, recommended to the General Assembly that the start-up phase of peacekeeping operations be the subject of an in-depth evaluation and that the final report be presented to the Committee in 1995.[1] A progress report on the subject (E/AC.51/1994/3 and Corr.1) was submitted to the Committee in 1994. The General Assembly, in its resolution 49/37 of 9 December 1994, took note of the progress report and expressed its belief that a continuing process of in-depth evaluation of various phases and aspects of peacekeeping operations was important to the deliberations on improving the capacity of the United Nations for peacekeeping. The final report on the start-up phase of peacekeeping operations (E/AC.51/1995/2 and Corr.1) was reviewed by the Committee in 1995.

2. The progress report focused on prerequisites of learning from experience with United Nations peacekeeping operations and on the status of a ready capacity to act for the information, electoral assistance, repatriation, human rights, civilian police and military functions. The final report, in conformity with a decision of the Committee at its thirty-fourth session,[2] examined overall direction and coordination, the humanitarian and civil administration aspects of peacekeeping and six support functions, namely, planning, financing, staffing, logistics, procurement and training.

3. Reviews of progress in implementing the recommendations made in the progress report were included in the final report on the start-up phase (E/AC.51/1995/2 and Corr.1, paras. 16-32) and, a year later, in the evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1, paras. 5-12). Recommendation 5 of the latter report proposed that:

> "The triennial review ... should consist of an assessment of implementation of the recommendations in the progress report (E/AC.51/1994/3 [and Corr.1]), [and] the related recommendations in the final report (E/AC.51/1995/2 [and Corr.1]) and the [termination phase] report [E/AC.51/1996/3 and Corr.1]."

The present report takes as its reference the recommendations in the final report on the start-up phase, supplemented as needed by information on the related recommendations in the other two reports. All recommendations were endorsed by the Committee without modification, unless otherwise noted.

II. Findings

A. Learning from experience

1. Formulating the lessons of experience

Recommendation 1, Responsibility for learning from experience in peacekeeping. The Department of Peacekeeping Operations should adopt policies on end-of-mission assessments, exit interviews, debriefings, mid-mission assessments and mission records, and establish a documentation centre, as proposed in recommendations 1, 3 and 4 of the progress report, and seek the additional resources needed to implement them. The Dag Hammarskjöld Library should implement those aspects of recommendations 4 and 5 of the progress report under its responsibility. The Archives and Records Management Section should continue to develop those aspects of recommendation 5 under its responsibility.

The evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1) contained the following related recommendation:

Headquarters documentation services. The documentation centre proposed in recommendation 4 of the progress report (E/AC.51/1994/3 and Corr.1) should be established, and should inform all missions of its holdings and the hard-copy and electronic services it is in a position to provide, by 30 September 1996. The holdings should be indexed (with the assistance of the Dag Hammarskjöld Library) at the level of detail needed to be useful to missions. Whenever possible, an on-line computer link should be established with headquarters, so that field offices can access information from other peacekeeping missions directly.

4. A Lessons Learned Unit was established in the Department of Peacekeeping Operations in April 1995 in response to recommendations 1 to 4 of the progress report and recommendation 1 of the final report. The objectives of the Unit are to derive lessons from peacekeeping operations and recommend their application to improve the planning, management, conduct and support of ongoing and future operations, and to develop institutional memory on peacekeeping. A report on the Unit, covering functions and methodology, completed activities, the programme of work through the end of 1998 and resource requirements, was submitted to the General Assembly in August 1997 (A/51/965). The Unit was still not funded on a stable basis

as at the end of 1997 (see A/C.5/51/SR.73 and General Assembly resolution 51/239 B).

5. Studies are conducted in close cooperation with mission personnel, troop-contributing countries, the Secretariat, regional and intergovernmental organizations, specialized agencies and non-governmental organizations. The Unit has developed a comprehensive methodology for its studies, involving the following steps:

(a) Studying available documents and reports on the operation;

(b) Interviewing Department desk officers;

(c) Interviewing relevant officials from other departments and specialized agencies;

(d) Requesting assessments from troop-contributing countries;

(e) Interviewing political and military officials of relevant permanent missions;

(f) Debriefing senior mission officials;

(g) Circulating a questionnaire to mission officials for feedback;

(h) Undertaking field visits;

(i) Consulting external experts on the operation;

(j) Holding internal consultations within the United Nations system;

(k) Holding comprehensive workshops and seminars with troop-contributing countries, United Nations and mission officials, specialized agencies, non-governmental organizations and experts;

(l) Publishing lessons learned report.

6. In terms of its major functions, the Unit had completed, as at the end of 1997, the following:

(a) *Mission-specific analysis*. Comprehensive reports on lessons learned from United Nations operations in Somalia (United Nations Operation in Somalia (UNOSOM)) and Rwanda (United Nations Assistance Mission for Rwanda (UNAMIR)), a mid-mission assessment of the United Nations Mission in Haiti (UNMIH) and an interim report on lessons learned from the United Nations Angola Verification Mission (UNAVEM). The Unit has also published a study entitled "Multidisciplinary peacekeeping: lessons from recent experience";

(b) *Function-oriented analysis*. Analysis of important aspects common to most peacekeeping operations: seminar on public information in field operations (in cooperation with the Department of Public Information);

(c) *Monitoring implementation of lessons learned*. While implementation remains the responsibility of the concerned department, agency or unit, the Lessons Learned Unit monitors implementation by publishing an annual status report;

(d) *Special projects and studies*. A study on lessons learned from cooperation between the United Nations and regional organizations in peacekeeping operations: cooperation between the United Nations and the Economic Community of West African States (ECOWAS).

7. The Lessons Learned Unit has established a Resource Centre, with a selection of documents pertaining to peacekeeping operations in both electronic and hard copy. Mission-specific documents, such as end-of-mission reports, reconnaissance or fact-finding mission reports, technical survey mission reports, rules of engagement, guidelines for troop-contributing countries, status of forces and mission agreements, mission standard operating procedures and other policy documents, are being collected for each mission. The Resource Centre has a home page on the Internet; however, missions are not connected to it as a matter of standard policy; missions are connected to the Resource Centre only if they individually subscribe to a commercial Internet server.

8. The Resource Centre now contains most mission standard operating procedures and similar material for the United Nations Protection Force (UNPROFOR), UNAMIR and UNOSOM, but they are not yet fully indexed. This means that what has been collected is still not known or available to the missions in the field. There is no departmental policy directive to assist the Resource Centre collect and disseminate mission-specific documents such as standard operating procedures and other documents of a similar nature that record the practical experience of the mission. Consequently, the problem described in the progress report of 1994 (E/AC.51/1994/3 and Corr.1, para. 10 and recommendation 4) has still not been properly addressed. This in turn gives rise to the problem described in the following statement from the end-of-mission assessment of the United Nations Operation in Mozambique (ONUMOZ), which was quoted two years ago in the in-depth evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1, para.9):

> "ONUMOZ staff ... were unable to obtain any reference documents from United Nations Headquarters or other missions with regard to procedures applied in other peacekeeping missions on

such important issues as demobilization, ceasefire monitoring, storage and safe-keeping of arms, investigations into violations of the agreement etc. ... It is deemed invaluable that a centralized archive for such purposes is established at United Nations Headquarters."

Such an archive should be created, indexed and made available to missions on a Department of Peacekeeping Operations intranet site as soon as possible.

9. Missions in Cambodia, El Salvador, Mozambique, Rwanda and Somalia have transferred their records to the Archives and Records Management Section of the Department of Management within a year or so of liquidation. As a beginning of the move from a registry to a records management system, the Section issued a mission records retention schedule in 1994 to help field missions organize, access and dispose of their files efficiently. Since then, the Section has made a number of proposals to the Department of Peacekeeping Operations to further the move to a records management system, but these have not yet been accepted. The Dag Hammarskjöld Library will cooperate with the Section to assist in the identification of interested academic depository libraries that are ready to expand their peacekeeping materials and become focused on peacekeeping research.

2. Translating lessons of experience into practice

The evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1) contained the following recommendation, reproduced in the modified form adopted by the Committee for Programme and Coordination at its thirty-sixth session:[3]

Translating the lessons of experience into practice. For each of the major substantive tasks of peacekeeping missions, the Lessons Learned Unit and the responsibility centre associated with the component or task should: (a) review the relevant parts of end-of-mission assessments and lessons learned documents and related materials, in consultation with the appropriate organizations of the United Nations system, and derive policies and procedures from them or modify existing policies and procedures, and present them for consideration and approval, as appropriate, to the relevant intergovernmental bodies, including the Special Committee on Peacekeeping Operations; (b) issue the results of this process by June 1997.

10. As indicated in the preceding paragraphs, procedures are now in place under which experience with the major tasks of peacekeeping operations is examined, and lessons derived. Manuals, guidelines and directives have been issued or are in preparation covering general policy and codes of conduct, as well as the specific work of military observers, civilian police officers, demining, field administration and logistics, mission planning, medical support and information. Some of these documents are referred to in the relevant sections below. However, in the absence of a systematic collection or review of mission standard operating procedures, discussed in paragraph 8 above, it is not clear to what extent the lessons learned reports, manuals, guidelines and directives reflect lessons derived from experience at the level of precision needed to be of practical value in the field.

11. With respect to end-of-mission assessments, debriefings and exit interviews, the Office of Internal Oversight Services was informed by the Department of Peacekeeping Operations that all Special Representatives of the Secretary-General and Force Commanders of peacekeeping missions are now required to submit written end-of-assignment reports. These reports are to be submitted at least two weeks prior to the arrival of the Special Representatives of the Secretary-General and the Force Commanders at United Nations Headquarters for debriefing, so that issues raised in them can be discussed at the appropriate level. Heads of components of peacekeeping missions are also required to submit end-of-assignment reports. Structured debriefings or discussions are held whenever senior mission staff visit United Nations Headquarters at the end of their tour or for consultations. Where applicable, officials from other relevant departments are also invited to attend debriefings. A meeting of troop-contributing countries is also normally held whenever Special Representatives of the Secretary-General and Force Commanders visit Headquarters. The Training Unit of the Department of Peacekeeping Operations participates in all debriefings of chiefs of missions as part of the end-of-mission assessments. Training issues are reviewed and incorporated in subsequent training documentation and policy.

3. Allocations of responsibility

Recommendation 2, Allocation of responsibilities for support functions for peacekeeping. By the end of 1995, revised Secretary-General's bulletins for all affected units in the Department of Administration and Management and the Department of Peacekeeping Operations should be issued showing the support functions for peacekeeping assigned to these units. In the bulletins for these two departments, all

administrative responsibilities listed in annex II to the progress report (E/AC.51/1994/3 and Corr.1) should be explicitly assigned for each support function.

Recommendation 3, Responsibility for the coordination of a ready capacity to act for peacekeeping operations. Such responsibility has been assigned, within the Department of Peacekeeping Operations, to the Assistant Secretary-General for Planning and Support. This responsibility should extend to the coordination of readiness activities related to peacekeeping under the responsibility of departments and offices outside the Department of Peacekeeping Operations. The concept of standby arrangements should, to the extent possible, govern the development and maintenance of operational aspects of a ready capacity to act for all substantive components and support functions.

The evaluation report on the termination phase (E/AC.51/1996/3 and Corr.1) contained the following related recommendation, reproduced as adopted by the Committee for Programme and Coordination, which endorsed the recommendation "on the understanding that that was an endorsement of the general principle of designation of responsibility centres and did not imply that the Department of Peacekeeping Operations had responsibility for any functions beyond those in its mandate":[3]

Designation of responsibility centres. The Secretary-General should designate appropriate responsibility centres, with the functions listed in annex II to the progress report (E/AC.51/1994/3 and Corr.1) for work on demobilization, resettlement and reintegration of uprooted populations and any other major substantive tasks of peacekeeping missions for which such centres have not yet been designated.

12. In recent experience, some peacekeeping operations have been mandated to include different combinations of the following tasks: monitoring ceasefires and buffer zones, protecting humanitarian convoys, disarming and demobilizing ex-combatants, reforming military establishments, defining and establishing police forces, organizing or monitoring elections, monitoring human rights, promoting electoral and judicial reform, promoting aspects of civil administration and coordinating economic rehabilitation.[4]

13. The latest Secretary-General's bulletin for the Department of Peacekeeping Operations is dated 22 March 1995; revision is considered premature pending the results of the phase-out of gratis personnel. The Department assumed responsibility for the Organization's demining activities in October 1997.

B. Status of ready capacity to act: substantive functions

1. Information

Recommendation 4, The information component of peacekeeping missions. A unit should be established in the Department of Peacekeeping Operations with responsibility for the support of the information components of peacekeeping missions in the field, as proposed in recommendation 6 of the progress report (E/AC.51/1994/3 and Corr.1). The Department of Peacekeeping Operations and the Department of Public Information should, by the end of 1995, agree on a division of responsibilities related to all activities proposed in recommendations 7 to 10 of the progress report [on, respectively, doctrine, mission-oriented media outreach, a roster of trained potential spokespersons for missions and standard operating procedures] and should have begun implementation of those activities.

14. The Committee for Programme and Coordination was informed that the Secretary-General was not in favour of the recommendation and had assigned responsibility for the information component to the Department of Public Information.[5] In its conclusions and recommendations, the Committee recognized the importance of information in peacekeeping operations and recommended that the Secretary-General take all necessary measures to provide adequate support to that area.[6]

15. The Department of Public Information considers the Department as a whole as a "responsibility centre" for public information in peacekeeping. The Peace and Security Section of the Department was designated as the focal point for liaison and coordination with the Department of Peacekeeping Operations, as well as with the Department of Political Affairs and the Department of Humanitarian Affairs, where field-based information components are concerned. The Section has assumed this role in addition to its established programme of publications, Internet postings and other outputs.

16. In 1997, provisional guidelines for public information components in the United Nations peacekeeping and other field missions were endorsed by the interdepartmental working group on the subject and were circulated to Special Representatives of the Secretary-General, Force

Commanders and heads of mission for implementation. An earlier draft of the guidelines, prepared by the Department of Public Information in consultation with the Department of Peacekeeping Operations, had been revised in the light of comments by current and former information staff of peacekeeping missions at a two-day seminar organized jointly by the Lessons Learned Unit of the Department of Peacekeeping Operations and the Peace and Security Section of the Department of Public Information.

17. An informal roster of approximately 150 potential public information personnel for mission assignment is kept by the Peace and Security Section. Sets of questionnaires were prepared by the Department of Public Information in 1995 for use by the Field Administration and Logistics Division of the Department of Peacekeeping Operations in screening potential candidates for posts as Director of Information/Chief Information Officer, Spokesperson, Information Officer, Broadcast Officer, Information Assistant and Television/Radio Assistant. The Peace and Security Section of the Department of Public Information and the Field Administration and Logistics Division of the Department of Peacekeeping Operations consult regarding potential candidates and vacancies to be filled; the Field Administration and Logistics Division asks the Department of Public Information to review candidates or to suggest possible appointees from the roster. The roster could be strengthened by more systematic updating and active "headhunting".

18. Staff of the Department of Public Information have undertaken short-term mission assignments to help in the planning for radio broadcasting and television production in Eastern Slavonia, and have conducted a technical survey and provided a producer for United Nations Radio programming in Liberia. The Department of Public Information has also provided radio and television programming and other information and backstopping support to field missions as requested by the Department of Peacekeeping Operations.

19. The Secretariat has made progress in developing standards for public information in the field. Limited progress has been made in putting these standards into practice on a full and regular basis. The Department of Peacekeeping Operations and the Department of Public Information have agreed that the Department of Public Information should be involved in planning from the outset. Although survey missions to Burundi and the Central African Republic and, eventually, to Western Sahara included an information officer of the Department of Public Information, reconnaissance missions to Sierra Leone and the Congo did not. Public information requirements still remain undeveloped in the concept of operations for many new or expanded missions. Start-up kits for the information component have not yet been developed. As at the end of 1997, there was no policy on providing field operations with access to the Internet or on home pages for field missions.

2. Electoral assistance and repatriation

20. The responsibility centres for these functions are the Electoral Assistance Unit of the Department of Political Affairs and the Office of the United Nations High Commissioner for Refugees (UNHCR), respectively. The evaluation found that an adequate ready capacity to act existed for these functions. The work of UNHCR was the subject of an in-depth evaluation report to the Committee for Programme and Coordination in 1993 and a triennial review of implementation in 1996. The Electoral Assistance Unit will be the subject of an in-depth evaluation report to the Committee at its thirty-ninth session, in 1999.

3. Human rights

Recommendation 5, Human rights component. The Centre for Human Rights should be designated the responsibility centre for the human rights component of peacekeeping missions and should begin implementation of the associated functions [such as standard operating procedures], as proposed in recommendation 12 of the progress report (E/AC.51/1994/3 and Corr.1).

21. At its thirty-fifth session, the Committee for Programme and Coordination concluded that the recommendation needed to be examined further by the relevant intergovernmental bodies.[7] The Committee may wish to reconsider the recommendation in the context of recommendation 3 of the present report or during its discussion in 1999 of the triennial review of the evaluation of the termination phase.

22. An inspection by the Office of Internal Oversight Services of the Centre for Human Rights was conducted in 1995 (A/49/892). A follow-up review, conducted in April 1997, concluded that, as far as the administration of the Centre was concerned, there did remain weaknesses in addressing the requirements of an increased workload arising from the Centre's involvement in field operations (A/52/426, para. 56).

4. Civilian police component

Recommendation 6, Civilian police component. The Department of Peacekeeping Operations should

continue implementation of recommendations 13 to 18 [on designation of a responsibility centre, development of doctrine, police experts on survey missions, policy on civilian police monitors, standby arrangements for civilian police and repatriation of unqualified civilian police monitors] of the progress report (E/AC.51/1994/3 and Corr.1).

23. Guidelines on selection, testing and early repatriation of civilian police officers have been developed based on an assessment of previous mission experience and input offered by Member States, which cover each of the areas recommended in the progress report, namely, (a) skills, including driving, languages, etc.; (b) minimum police experience; (c) rotation period; and (d) inclusion of women in civilian police contingents. Standard administrative and operational procedures for United Nations civilian police are being drafted.

24. The Selection Assistance Team programme, through which the United Nations dispatches experienced monitors from field missions and a representative from Headquarters to police-contributing Member States, can assist in language and driving-skills testing, and in developing in-country pre-deployment training facilities. Minimum experience levels have been set for each mission, which reflect the complexity of the mandate and the living conditions within the country. Duty tours are now limited to a one-year duration. In its communications to police-contributing Member States, the Secretariat regularly indicates the importance of including female monitors in civilian police components.

25. The Department of Peacekeeping Operations has adopted and implemented a policy of including a civilian police expert on all technical survey teams where a civilian police component is contemplated.

26. Efforts continue to broaden the base of civilian police availability through the standby arrangements system.

27. Regarding the repatriation of unqualified civilian police monitors, the recommendation in the progress report is being implemented routinely in United Nations missions with a civilian police component. Monitors are tested upon their arrival in the mission area, and are repatriated if they fail to meet the established criteria, with repatriation expenses and travel costs of a replacement being borne by the police contributor. However, the Selection Assistance Team programme has significantly reduced the incidence of such repatriation.

5. Military component

Recommendation 7, Military component. The Department of Peacekeeping Operations should continue implementation of recommendations 19 to 22 [on development of doctrine, standby forces, standard operating procedures and a peacekeeping information network] of the progress report (E/AC.51/1994/3 and Corr.1).

Recommendation 8, Planning for standby arrangements. The comprehensive report on standby arrangements requested by the Security Council should be drafted in conjunction with the plan for rapid reaction capacity proposed in recommendation 14 below. Requirements for standby capacity should be consistent with the objectives and strategy of this plan.

28. A number of doctrinal publications have been developed in concert with Member States. The United Nations General Guidelines for Peacekeeping, for example, elaborates on principles and practices, draws on cumulative experience and gives guidance to Governments contributing military or civilian personnel. However, the Guideline Standard Operating Procedures for Peacekeeping Operations have not been updated since 1991, during which time peacekeeping has continued to change dramatically. To update the standard operating procedures in a comprehensive and authoritative manner would require considerable staff time by experienced professionals. The Department stated to the Office of Internal Oversight Services that it has continued to operate on a resource base that is well below optimal staffing levels and, in those circumstances, has not been able to produce a new set of Guideline Standard Operating Procedures.

29. With regard to the creation of a peacekeeping information network, the Department of Peacekeeping Operations is facilitating the exchange between Member States of experts on peacekeeping operations through the work of its Training Unit. Through the Training Assistance Teams programme, the United Nations has trained 81 instructors in 52 countries, constituting regional and national pools that can be shared regionally or subregionally. The Training Unit also maintains a database through which permanent missions can identify points of contact within other Member States, including sources of training.

30. Standby arrangements are described in paragraphs 32 to 36 below, under the planning function.

C. Humanitarian and civil administration aspects of peacekeeping operations

31. Recommendations 9 to 12 of the final report on the start-up phase (E/AC.51/1995/2 and Corr.1), on early-warning activities, humanitarian assistance and emergency situations, were not endorsed by the Committee for Programme and Coordination, which concluded that they needed to be examined further by the relevant intergovernmental bodies.[7] The in-depth evaluation of the Department of Humanitarian Affairs (E/AC.51/1997/3), which contained findings and recommendations covering the same issues from a somewhat different perspective, was reviewed by the Committee in 1997.

D. Status of ready capacity to act: support functions

1. Planning

Recommendation 13, Planning guidelines. Peacekeeping planning guidelines should be elaborated and issued by the Secretariat. In addition to elements derived from Security Council and General Assembly resolutions, the planning guidelines should include general objectives for the development of specified standby arrangements and, by a given date, a rapid reaction capacity within the Secretariat.

Recommendation 14, Plan for rapid reaction capacity. The general objectives in the planning guidelines should be the basis of a Department of Peacekeeping Operations strategic plan aimed at developing a rapid reaction capacity, including related capacities for substantive components, within the Secretariat. This plan should be linked to standby arrangements as proposed in recommendation 8 above.

Recommendation 15, Standard planning method for the start-up phase. Standard planning procedures for the start-up phase should incorporate the results of a critical-path analysis of the processes involved.

32. The Mission Planning Service of the Department of Peacekeeping Operations consists of a Generic Planning Unit, responsible for the overall effectiveness and timeliness of the planning process; a Mission Development Unit, responsible for planning the preparation and execution of new or extended missions; and the Standby Arrangements Unit, responsible for management of standby arrangements, including the negotiation of agreements with Member States and the maintenance of a database of personnel, material and equipment, services, conditions of employment, strategic movement or shipment and response times. Information registered in this database has been used in the planning and deployment of several missions.

33. A report is submitted to the Security Council each year on progress made on standby arrangements; the most recent report (S/1997/1009) was submitted on 24 December 1997. As at 1 December 1997, 67 Member States had indicated willingness to provide standby resources, totalling, *inter alia*, some 88,000 personnel. This total includes elements of different sizes, varying from infantry battalions to individual military observers, and covers the whole range of components envisaged for peacekeeping operations. As at the end of 1997, 13 Member States had formalized their standby contributions through memoranda of understanding.

34. Less than half of the confirmed standby resources have a response time of under 30 days. In the interest of reducing the time needed to respond to a crisis, great importance is attached to the development, by a group of States from four continents, led by Denmark, of the Multinational United Nations Standby Forces High-Readiness Brigade (SHIRBRIG). This is a formation of up to 5,000 troops, which can be tailored to a given task and may be deployed for up to six months. Once it becomes fully operational, in 1999, it will be capable of deploying in under 30 days. All the forces that SHIRBRIG can draw from will be pledged to the standby arrangements system.

35. The Secretariat is continuing to explore with Member States suitable arrangements for the establishment of a rapidly deployable mission headquarters.

36. A Survey Mission Handbook has been prepared and is now in use. A critical path study of the start-up phase has been completed in narrative.

2. Financing and staffing

Recommendation 16, Analytical system for budgeting peacekeeping operations. The prototype of the analytical peacekeeping budgeting system described in paragraph 60 [of the evaluation report, involving standard cost parameters, a database containing financial and management information and ratios based on previous missions, and a standardized framework of policies and procedures] should be developed and tested by the end of 1995 under the responsibility of the Office of Programme Planning, Budget and Accounts, with the assistance of the Department of Peacekeeping Operations.

37. A Standard Cost Manual for Peacekeeping Operations has been in use since January 1994; the third revision was made available to Member States in November 1997. The Manual provides technical specifications and unit prices for budgeting and financial management of military and civilian personnel, travel, premises and accommodation, transport, air and naval operations, communications and other equipment, supplies and services and public information programmes. In the forward to the Manual, it is stated that revisions to the rates are planned every 12 months; however, many of the sources and effective dates in the Manual are from 1995. Some work has progressed on developing standard ratios or percentages for an analytical budgeting system but as yet no prototype has been tested.

38. The Peacekeeping Database contains structured financial and personnel information on resource planning, which includes the Standard Cost Manual; financial management, including allotment preparation, purchase orders, pre-encumbrance and obligation review; claims management; contingent-owned equipment; applications management, including databases of external inquiries and potential candidates, which are reviewed through a filtering process that matches functional criteria for posts with individuals; staffing, including databases on staffing tables and vacancies; travel, linked to claims management; and troop strength, which supports the calculation of monthly reimbursements.

> *Recommendation 17. Security of personnel.* All peacekeeping technical survey missions should include an expert on security to make recommendations on security requirements. All mission plans and budgets should include provisions for security requirements. All civilian personnel should receive appropriate security-related training.

39. The security of United Nations peacekeeping personnel is the responsibility of the Department of Peacekeeping Operations and that of all other United Nations personnel is the responsibility of the Office of the United Nations Security Coordinator in the Department of Management. The Department of Peacekeeping Operations and the Office of the United Nations Security Coordinator collaborate in addressing security issues in those areas where peacekeeping operations are deployed. The Department has a designated focal point for security who works with the Office in addressing security-related policy matters of mutual concern. The Office is involved in the planning of peacekeeping operations, in particular those that will be established in areas where United Nations agency personnel are deployed, including participation in reconnaissance missions to the field.

40. The budgets of peacekeeping operations include a special line item to reflect the personnel and material requirements necessary to meet security needs. In addition, the Department of Peacekeeping Operations has fielded several missions with the Office of the United Nations Security Coordinator to review particular security problems of mutual concern and to develop recommendations to address them.

41. Headquarters briefings of chief administrative officers include a full day with the Office of the United Nations Security Coordinator. In addition, the Office provides training to all mission staff through the Department's mission readiness seminars. The recent hostage management training seminar included participants serving in peacekeeping operations.

3. Logistics and procurement

> *Recommendation 18. Standard operating procedures for logistics and procurement.* The field administration manual, the operational support manual and the procurement manual should be revised to incorporate the consolidated recommendations of the Logistics Working Group and the High-level Group of Experts on Procurement. These revised manuals should be issued by the end of 1995.
>
> *Recommendation 19. Office of Internal Oversight Services review of compliance in logistics and procurement.* The reports of the Office of Internal Oversight Services on compliance with the recommendations of the present report, such as the triennial review to the Committee for Programme and Coordination, should include reviews of compliance with each of the consolidated recommendations of the Logistics Working Group and the High-level Group of Experts on Procurement.

42. The Peacekeeping Database includes the following structured information on logistics and operational management: letters of assist; vehicle registration; asset registrations; and casualty and incident registration, including medical details.

43. The field administration manual and the operational support manual are still in progress. In the interim, the 1974 Field Administration Handbook, although partly obsolete, is still in use. However, the provisional versions of the new manuals, as well as of other existing manuals on the administrative support of peacekeeping operations, have been made available to field missions through the Peacekeeping Database. The new procurement manual will include sections on procurement policy and procedures and,

to a limited extent, standard operating procedures. As at the end of 1997, however, the new procurement manual was still in a draft stage.

44. The status of the implementation of the recommendations of the High-level Group of Experts on Procurement was described in two reports of the Secretary-General (A/C.5/51/9 and A/52/534 and Corr.1). An audit review was conducted by the Office of Internal Oversight Services in 1997 on the status of the implementation of the recommendations made by the High-level Group of Experts on Procurement. The review showed that the procurement reform process was well under way. The Procurement Division was reorganized, procurement guidelines were in the process of finalization and delegated procurement thresholds have been adjusted. Management information systems had the capability of producing all necessary management reports and could be further enhanced once databases were complete. The Procurement Division could rely on staff who were qualified for their assigned tasks. However, the audit concluded that additional efforts were needed to further strengthen the overall procurement process. Areas of concern included the training and experience of field mission procurement officers, the procurement manual, procurement planning and the quality of the vendor roster. A report on this audit to the General Assembly (A/52/813) contains a summary of the status of implementation for each recommendation of the Expert Group, as required by recommendation 19 above.

4. Training

Recommendation 20, Training guidelines. Training guidelines should be elaborated and issued by the Secretariat. The guidelines should specify the minimal level of training to be provided for both military and civilian personnel from the Secretariat and from cooperating intergovernmental bodies, non-governmental organizations and other organizations contributing personnel to United Nations peacekeeping operations.

Recommendation 21, Training plan. A peacekeeping training plan, covering a period of two years, updated every year on a rolling basis, should be prepared to give a composite picture of training needs and planned responses to meet those needs by the Secretariat, national Governments and training institutions and non-governmental organizations. This plan should be prepared jointly by the Training Service, Office of Human Resources Management, and the Training Unit, Department of Peacekeeping Operations, and should serve as a basis for integrating the efforts of all the training partners. The peacekeeping training plan should be submitted to the Special Committee on Peacekeeping Operations.

45. At its thirty-fifth session, the Committee for Programme and Coordination endorsed recommendations 20 and 21 insofar as the training guidelines and the peacekeeping training plan were to be drawn up by the Secretariat for military and civilian personnel from the Secretariat. The Committee was of the view that the need for the Secretariat to draw up similar guidelines in respect of personnel contributed by cooperating intergovernmental bodies, non-governmental organizations and other organizations contributing personnel to United Nations peacekeeping operations required further examination by the Special Committee on Peacekeeping Operations".[8] The Special Committee on Peacekeeping Operations has been briefed annually on the training activities described below.

46. The role of the Training Unit within the Department of Peacekeeping Operations is to assist Member States in the preparation of personnel and units for United Nations peacekeeping operations. The Unit has now conducted all four planned regional training workshops. United Nations Training Assistance Teams have provided training in Haiti and Angola and have assisted in the development of training centres and the preparation of personnel in several countries.

47. Over 20 training publications have been produced by the Training Unit as contributions to the preparation of individual military and civilian police peacekeepers as well as units for peacekeeping missions. These publications are designed to provide:

(a) General guidance and policy for peacekeeping;

(b) Specific standards for the selection and training of individuals;

(c) Guidance for the preparation of staff officers and soldiers;

(d) Handbooks to provide assistance to individuals in the field;

(e) Principles of conduct for individuals;

(f) Health-related materials.

48. The training plan developed by the Unit is designed to meet this assistance and coordinating role rather than to dictate training, which clearly remains the responsibility of Member States. Because of budget and personnel constraints, the annual training plan has concentrated on the provision of expert assistance, the development of United Nations Training Assistance Teams, the training of trainers

and the provision of supporting material. The efforts are supplemented by the following:

(a) Support to Member States;

(b) A training database, developed as part of the peacekeeping information network, which provides detailed information on national training programmes, their availability and points of contact;

(c) Coordination of training with other departments and organizations such as the Office of Human Resources Management, UNHCR, the Office of the United Nations High Commissioner for Human Rights, the Centre for International Crime Prevention and the United Nations Children's Fund.

III. Recommendations

49. *Recommendation 1, Resource Centre of the Department of Peacekeeping Operations.* An archive should be created in the Resource Centre of the Department of Peacekeeping Operations containing all mission-specific standard operating procedures and related materials. The archive should be organized by major substantive and support tasks, including monitoring ceasefires and buffer zones, protecting humanitarian convoys, disarming and demobilizing ex-combatants, reforming military establishments, defining and establishing police forces, organizing or monitoring elections, monitoring human rights, promoting electoral and judicial reform, promoting aspects of civil administration and coordinating economic rehabilitation. These holdings should be indexed and made available to missions on a Department intranet site by 30 September 1998. The regular updating of this archive, and the encouragement of its use by field missions, should be considered a priority of the Department since it is the core of its institutional memory of practical experience in peacekeeping. Further development of the holdings and capacities of the Resource Centre should be primarily determined by the needs of field missions and other official users as indicated by their requests for information.

50. *Recommendation 2, Designation of responsibility centres.* The Secretary-General should, by 30 September 1998, designate responsibility centres, with the functions listed in annex II to the progress report (E/AC.51/1994/3 and Corr.1), for the development of a ready capacity to act for all major substantive and support tasks in peacekeeping operations. Such designations do not imply that the Department of Peacekeeping Operations has responsibility for any functions beyond those in its mandate. Revised Secretary-General's bulletins for the Department of Peacekeeping Operations and for all other affected departments and offices should reflect the functions implied by these designations.

51. *Recommendation 3, Translating the lessons of experience into practice.* For each of the major substantive tasks of peacekeeping missions, the Lessons Learned Unit, together with the responsibility centre associated with the component or task, should (a) review the relevant mission standard operating procedures and related material, Department of Peacekeeping Operations handbooks, manuals and training materials, end-of-mission assessments and lessons learned documents, and derive from them policies and procedures for these tasks, or modify existing policies and procedures; (b) submit a report on these activities to the Special Committee on Peacekeeping Operations at its session in 1999.

52. *Recommendation 4, Information component.* (a) The Department of Peacekeeping Operations and the Department of Public Information should engage in an active search for appropriate candidates to place on the roster of potential public information personnel for mission assignment; the roster should be systematically updated. (b) The Department of Peacekeeping Operations and the Department of Public Information should continue to develop standards for the public information component of peacekeeping operations. The standards already agreed on should be put into practice in the execution of information strategies of current and future missions. (c) The Department of Public Information should be involved from the outset in planning the information component of new or expanded missions; an information expert should participate in all technical survey or reconnaissance missions. (d) Start-up kits for the information component should be developed. (e) All Department of Peacekeeping Operations field operations should be linked to one another and to Headquarters, including the Department's Resource Centre, through a Department intranet site, by 30 September 1998.

53. *Recommendation 5, Military component.* The Guideline Standard Operating Procedures for Peacekeeping Operations should be updated by the end of 1998.

54. *Recommendation 6, Analytical budgeting system for peacekeeping.* A prototype analytical budgeting system for peacekeeping should be tested by the end of 1998.

55. *Recommendation 7, Review of implementation.* A review of the implementation of the above recommendations should be included in the triennial review of the in-depth evaluation of the termination phase of peacekeeping

operations, to be submitted to the Committee for Programme and Coordination at its thirty-ninth session, in 1999.

(*Signed*) Karl Th. **Paschke**
Under-Secretary-General
for Internal Oversight Services

Notes

[1] *Official Records of the General Assembly, Forty-eighth Session, Supplement No. 16* (A/48/16), part one, para. 35.

[2] Ibid., *Forty-ninth Session, Supplement No. 16* (A/49/16), part one, para. 25 (a).

[3] Ibid., *Fifty-first Session, Supplement No. 16* (A/51/16), part one, para. 92.

[4] Ibid., *Fifty-second Session, Supplement No. 6* (A/52/6/Rev.1), para. 3.9.

[5] Ibid., *Fiftieth Session, Supplement No. 16* (A/50/16), para. 261 (d).

[6] Ibid., para. 266.

[7] Ibid., para. 264.

[8] Ibid., para. 265.